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ABSTRACT

This participant's workbook provides references and handouts used in the preparation and delivery of the management skills training sessions designed to upgrade the skills and performance of managerial personnel in the alcoholism field. The curriculum consists of an orientation and overview, the group process, management and change, the planning process, director and board relationships, planning for change, funding sources, selected aspects of financial management, organization structure and position descriptions, personnel evaluation and supervision, appraisal interviews and staff development, information gathering and decision making, individual planning and closing activities. The course is designed for flexibility as a result of national field testing. (LS)

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Participant Workbook

management skills

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U.S. Department of Health, Education, and Welfare • Public Health Service • Alcohol, Drug Abuse, and Mental Health Administration

PARTICIPANT WORKBOOK

MANAGEMENT SKILLS FOR ALCOHOL PROGRAM ADMINISTRATORS

developed by

National Center for Alcohol Education

U.S. Department of Health, Education, and Welfare
Public Health Service
Alcohol, Drug Abuse, and Mental Health Administration

National Institute on Alcohol Abuse and Alcoholism
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Introduction

This *Participant Workbook* is to be used in conjunction with the *Trainer Manual* for NCAE's training program on Management Skills (MS). It contains all of the handouts participants will need for the sessions in section III of the manual.

The codes in the upper righthand pages of the workbook are keyed to the instructions of this section. MS = Management Skills. The number after MS is the session number (e.g., MS2D = handouts needed for session 2D in section III of the *Trainer Manual*).

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Handout 1—Interview Guide

1. What is your full name?

2. When people call you by your first name, how do you prefer to be addressed?

3. In what part of the country (State, area) do you make your home?

4. Have you lived anywhere else you liked better?

5. Name one thing about your program of which you are particularly proud.

6. What aspect of administration do you think you handle particularly well?

7. What do you like to do in your spare time?

8. What do you think would be helpful for the other participants to know about you?

Code: MS1

Handout 2—Meeting the Problems of Alcoholism in the United States

Selden D. Bacon, Ph.D.

To separate the study and treatment of alcoholism from concern with liquor traffic, temperance, and prohibition has been a difficult task. For many years, propaganda and confusion about the nature of the problem have obscured the truth. Dr. Selden D. Bacon has spent many years of ardent work researching and disseminating the facts on alcoholism and alcohol related problems in the United States. He is director of the Center of Alcohol Studies at Rutgers, the State University, New Jersey.

This presentation will propose a sociohistorical view of reactions to the problems of alcohol in the United States over the past 25 years. To some extent these developments are reflected in Canada; and perhaps the same forces, though probably in different garb and with varying strength, are to be found in other societies around the world.

No historical period can be effectively described without discussing its roots in the preceding years. I will briefly scan two previous periods in the national history of planned and unplanned responses to the problems of alcohol. The first, the period of *classical American temperance movement*, I will place between 1825 and 1925, and will recall only the features of special relevance for understanding most recent developments.

First, all problems associated with alcohol were held in essence to be one and the same thing: whether the disapproved occurrences involved accidents or political graft or rowdyism or alcoholism or sexual misadventures or indolence or waste of resources, alcohol was the name of the problem.

Second, by simple extension of idea and strategy, any use of beverage alcohol, no matter what its form or quantity or purpose, became, ipso facto, "a problem."

Third, alcohol was held to be intrinsically a moral and spiritual evil, a characterization more basic than any other for this movement.

Fourth, attack upon the alcohol problem was primarily to be a legislative affair, with national prohibition as the final tactical goal; secondarily, the attack was to be launched through indoctrination about the evil of alcohol, with dramatic use of illustrations and threats, this program to be directed above all toward children and youth.

The classic temperance movement in the United States was magnificently organized and, in its earlier years, enjoyed leadership of the highest quality. To the surprise of many, it was one of the most liberal of American reform movements, espousing such causes as the rights of labor, international peace, woman's suffrage, and free, universal education. It was also a jealous movement in relation to the subject of alcohol: It was to be the sole arbiter of information, understanding, policy, and action in this field—whether the subject was law or medicine or religion or politics or education or science or anything else: either a person was *for* the Movement or was *for* its enemies, the Wets. Major institutional support was gained from Protestant churches. On occasion, extensive abstinence campaigns of Catholic, especially Irish Catholic, origin served as an allied force.

From about 1875 on, one can see from the vantage point of history that changes were taking place which would eventually weaken this movement. However, the period of its greatest manifest power was yet to come. Three times between 1840 and 1915, more than half the country was controlled by Prohibition, and finally the goal of national legislation was achieved in 1919. But the changes weakening the movement were visible by 1900. I will list six of these developments.

First, the society itself was moving from the status of a frontier, rural, and small-town nation, largely of northwest European origins, and clearly of an extractive economic nature, to an urban, polyglot society of an industrial nature, one marked by an almost fantastic degree of individual mobility.

Second, the forms of drinking customs were undergoing major changes, switching from use of distilled spirits to use of beer; the act of drinking moving from commercial outlets to families, clubs, and organizations; the proportion of women users markedly increasing; the purposes

of drinking shifting from that of getting drunk to that of enhancing other social purposes.

Third, formal education and mass communication media increased enormously in scope, with a gradual rise in the level of sophistication, which made the simplistic messages of the classic movement decreasingly attractive and increasingly suspect.

Fourth, the rise of the scientific method, especially as this came to be applied successfully to various diseases.

Fifth, the new modes of recognizing, attacking, and (in many cases with marked success), controlling what are called social problems, again with special emphasis on certain diseases.

Sixth, a development within the movement itself—namely, both a rigidity in structure, idea, and action setting in at the close of the nineteenth century, which resulted in its becoming a stereotype of old reform movements; and also a wide swing in its position in American society, a change more in the society than in the movement, resulting in its characterization as an extreme conservative rather than an advanced liberal group.

In large part because of the monolithic power of the classic movement, these developments resulted not in new ideas, new organization, and new action, but, quite the contrary, in evasion, self-imposed ignorance, avoidance, ridicule, and denial.

The second historical period I call *limbo.* Extending from perhaps 1925 to 1940 or 1943, only the sensitive historian, gifted with the hindsight of 1955 or 1960, could find anything positive, innovative, or constructive for meeting what we can see so clearly today as truly massive problems related to alcohol and its use which continued, perhaps even increased, during that time. The direct problems such as the so-called "accidents" associated with excessive use, the related diseases, the broken lives of alcoholics—all these continued. The indirect problems, those associated with programs of alleviation and control which manifestly failed and which bred deep alienation from and distrust of basic social institutions—government, religion, education, and health services—became an ever-increasing sore—perhaps more damaging to the total society than the direct problems from which they sprang. Parents and community leaders were fearful and uncertain.

And what did people in the society do? To those who were to mount the new attacks following 1940-44, it seemed as if there were a gigantic conspiracy by government, by industry, by the foundations, by educators, by the health and welfare professions, by researchers, and by the mass media, a conspiracy to avoid recognition, responsibility, or action. No meaningful records were kept, no relevant training conducted, no research supported, and, of course, no service provided. And, to top it off, avoidance, ridicule, and belittlement were visited on those attempting change. Yet there was in fact no conspiracy in the usual meaning of the word. Rather, it was massive social avoidance, an avoidance enhanced by the distasteful image of the old Wet-Dry conflict. Individual cases, when they could no longer be hidden, resulted in punitive actions, sometimes official in terms of jailing or repeated short term confinement in mental institutions, sometimes in terms of social ostracism and discharge from employment, but always actions of great social cost to communities, groups, and society, of deep pain to families and individuals, and of no visible help or hope to anyone. And the immediate problems were matched by the institutional problems: education on alcohol was archaic and futile or carefully avoided; laws were enforced, avoided, and ridiculed, the courts and jails were bogged down with old ritual, disgust, and inefficiency; the churches were in conflict. The list is long; the atmosphere suffused with hopelessness. I have named the period "limbo"; and limbo is hard to describe.

And so, following the near century of the magnificent movement and the following 15 to 20 years of limbo, we come to the past quarter-century. I will suggest the following descriptive words to characterize this last period: recognition, action (including study), fractionalization, turmoil, and hope. These five terms should at the least suggest a basic change from the preceding period. But even as I make this assertion, I must add that even today the impact of the two preceding periods is still strong; can still dominate thinking, opinion, and action in this locality, in that organization, and in various situations. Hopelessness, punitive responses, ignorance, and avoidance have not disappeared. The turmoil is not only within the new and changing scene, but responses from the archaic and older periods are still raucous, even still violent, and merge with more rational—at least more current—disagreements; and these enhance prejudice and prolong that fractionalization which appears to me as

the major weakness of current developments in the alcohol problems field in this Nation.

But the outstanding characteristic of the past 25 years has been *recognition.* It is a recognition of greater scope, greater discrimination, and greater intellectual maturity than that of the classic temperance movement and represents the opposite of the evasion and denial of the period of limbo. The nineteenth-century recognition was indiscriminate, simplistic, and couched entirely in terms of evil. The more modern viewpoint recognizes, first, that there is widespread, customary use of alcoholic beverages, use which does not constitute a social problem (except for the classic temperance view). Second, there are very real, extensive, and deeply painful problems immediately associated with deviant use. Third, these alcohol problems, cirrhosis, a variety of alcoholisms, and entirely different sorts of problems, e.g., misdemeanors, family disruption, and suicide, can be associated with and sometimes enhanced by alcohol use; consequent to this understanding it follows that different controls will be required for the different problems. Fourth, it is increasingly recognized that a major set of problems related to alcohol are not of an immediate relationship to alcohol use, in fact, require no use of alcohol at all, but rather are problems stemming from a long-lived series of attempts at control of the direct problems through education, law, religious activity, taxation—attempts which not only failed but which elicited deep-seated social antagonisms as well as a history of evasion, denial, and ignorance.

This recognition, with weaknesses to be described in a moment, has encompassed particularly such direct problem areas as problem drinking in business and industry, the chronic drunkenness offender in the police-court-jail network, the alcohol-affected highway crash, and the alcoholism. Perhaps even more basically it is to be seen in the searching review of their philosophies by leading Protestant denominations, by sociological and anthropological studies of the custom of drinking, and by a revival of mature and clearly more sophisticated interest in the goals, problems, and quality of education for youth about drinking. I would not wish to confuse you with the word recognition. It refers to open, symbolic communication which consists of observations or beliefs that there are such problems, communications coming from recognized leaders in a wide variety of fields. It is a major change. But it does *not* mean that action which might rationally be expected to follow has in fact occurred. The United States Government, through its most powerful representatives in the legislative, judicial, and executive branches, has at long last recognized these problems and called for extensive national effort; but it is also to be noted that the budget for the Federal effort of this Nation of over 200 million people is less than the alcohol program budget of one Canadian province with a population of slightly more than 7 million that is generally estimated to have less extensive alcohol problems. Similarly, the American medical profession may have formally and repeatedly recognized the extraordinary size, severity, and complexity of the alcoholisms, but this does *not* mean that the subject matter is part of the curriculum of medical schools, or that hospitals generally give equal admission and quality service to alcoholics, or that physicians generally accept such patients. Recognition is of cardinal importance for change, but the step from recognition to rational action can be a long, long journey indeed.

But *action* and also research have occurred over this 25-year period. These include the tremendous growth and extraordinary impact of Alcoholics Anonymous following 1942; the rise since 1944 of State alcoholism bureaus, small in budget as they are; the summer schools of alcohol studies, starting at Yale in 1943, now found the country over, with a record of perhaps 25,000 having attended; the report of the Cooperative Commission and the very existence of the National Alcoholism Center; the experiments with halfway houses and detoxification centers; the rise of the National Council of the North American Association, of the Smithers Foundation; the development of the Classified Abstract Archive of Alcohol Literature and the International Bibliography of Studies on Alcohol; the extensive sociological studies on alcohol unknown before 1943. There has been national action since 1943 on a scale incomparably greater than anything in the previous half-century. Clinical and biochemical studies and clinical services have multiplied many, many times.

There has been action and there has been study. In terms of the magnitude and extraordinary diversity of direct and related problems, these efforts remain rather small, even pathetically so in the eyes of those trying to cope; but compared to the previous half-century, which admittedly produced little beyond conflict and avoidance, it has been a promising start, both in service and in research. Service is chiefly clinical and is of the

nature of repairs, not control and prevention. However, this sort of repairing approach can lead to, and in other problem areas in the past has led to, greater control, even prevention. Recognition, action, and study have proceeded from these past 25 years in this country.

Perhaps the universal and monopolistic character of the classic temperance movement and, in opposing fashion, the broad scope and emotional strength of avoidance in the period of limbo, were to guarantee what I select as the greatest weakness of current developments in the United States to meet the problems of alcohol with rational programs. I call this *fractionalization*. It is fractionalization in recognition, fractionalization in action or service programs, and fractionalization in research.

The classic movement had called all alcohol problems one and the same thing and had viewed what was to it a single phenomenon—namely, drink of alcohol—as an expression of evil. In the rejection of this philosophy and program, there was an equally simplistic conception—namely, the philosophy and program of total evil and total prohibition are wrong, and the less said about it the better. In the face of this somewhat ambiguous and clearly aggressive cast of mind, it is hardly surprising that renewed recognition of alcohol problems should succeed only if bits and pieces of alcohol problems were proposed. Any suggestion that there were many problems and that they were inextricably interwoven immediately resurrected the idea of total evil and the program of total prohibition.

Alcoholism was selected, partly by force of circumstances and partly as a quite conscious policy, as the wheelhorse of change in the alcohol problems field. Between 1940 and 1955, it was separated out from the other alcohol problems. Alcoholics Anonymous, the local voluntary committees on alcoholism, and the emerging State divisions on alcoholism all publicly stated, almost as a basic credo, that alcoholism had nothing to do with other alcohol problems, that they proposed no program and held no group concern for those other problems. They also denied the role of evil and called alcoholism a disease: Not only did they adopt this position in order to get away from classic temperance viewpoints but also in order to move toward respectable, professional status and even grasp at the positive values of a glamorized medical science. They had no interest, at times had even an antipathy, toward groups concerned with alcohol education, sales controls, the highway traffic problem or, perhaps above all, the ethics and aspects of morality of uses of alcohol in society. Their dedication and effectiveness was such that many concerned with other alcohol problems began to interpret those other problems as being in fact *alcoholism*; schools brought A.A. members into classrooms on alcohol education; churches and temperance groups allowed, even rushed to incorporate, alcoholism as their dominant target; courts and jails and parents became concerned about alcoholism.

But the other problems, once the program to help alcoholics had opened the door, now began to gain recognition *on their own*. And they too showed all the signs of independence, even isolation, both from each other and also from the alcoholism control programs. The alcohol highway safety group lived in a world apart from the alcoholism control groups. Those concerned with chronic drunkenness offenders and the Skid Row problem more and more divorced themselves from the alcoholism programs which insisted that these particular sufferers were at best but 5 percent of the alcoholic population, often were not really alcoholics anyway, and, worst of all, carried in dramatic fashion that image, so devastating to alcoholism programs, that all alcoholics were drunken bums. In fact, the recent Federal and city interest and expressed intent to mount a major program for meeting the police-court-jail problem of drunkenness has met with outspoken suspicion and even antagonism from many in the anti-alcoholism field. The new alcohol-education-youth groups, after a decade or more of uneasy alliance with the antialcoholism groups, have begun to show increasing separation. Completely aloof from all these groups have been the alcohol beverage control boards of the 50 States. The isolation of these different organizations would be laughable if the problems were not so extensive and so serious.

But all this is fractionalization only in the world of action and service. What about the worlds of conception, question, and research? Unfortunately, the same characterization seems almost more prevalent, if this is possible. Not only does this stem, as in the action world, from the experience of the monolithic and limbo periods, but also from the very history of scientific and arts research itself, which has proliferated into so many specialties, each with its private language, departments, associations, expertise careers, professions, journals, and conferences, that the Tower of Babel seems a small structure indeed.

That each may have a contribution to make to this most complex human-social problem is hardly to be doubted. But that each—or that any one—holds a golden key to resolve the problems becomes ever more ridiculous as their numbers increase.

I have written elsewhere of the major models of thinking, emoting, and planning in the sphere of alcohol problems in this country: the medical or disease model, the youth malleability model, the legal-legislative-punitive model, the older "evil" model, the economic control model, the public health model. For an understanding of the fractionalization of thinking about alcohol problems in the arts and sciences of this country, it is important to realize, first, that each of these models is subdivided into specialized schools and theories, resulting in perhaps 20 groups in all; second, that the differences between the major and the minor groups are extreme, both in understanding and in policy; and third, that these differences are displayed in a social setting in which avoidance, ignorance, and general distaste for the subject of alcohol problems is still widespread.

This leads to the subject of *turmoil*. There are leaders in the field of just the alcoholisms who are convinced that a biochemical breakthrough is the real answer, or that A.A. is the real answer, or that moving care and protection and responsibility out of the legal network is the real answer, or that better general mental health is the real answer, or that changes in public attitudes about drinking are the real answer, or that a reorganization of medical services through community structures with a comprehensive health goal is the real answer, and so on and so on. These groups are in very real conflict, one that is enhanced by a gamesmanship ritual in the area of grants for research and by political gamesmanship in both service and research areas. And, even in this one area of the alcoholisms, there is an almost magical belief in the sufficiency of the word "disease" to explain the phenomenon and to determine the appropriate structure and leadership for both research and service.

The same sort of turmoil can be seen in the field—or I should more properly say fields—of law. Those concerned with civil rights and legal procedures in the area of public drunkenness seem utterly unconcerned with legal problems dealing with controls over sales. Yet a third group is concerned with law and law enforcement in the area of driving and drinking, and they may soon find themselves in direct conflict not only with the civil rights group but also with the whole structure of alcoholism rehabilitation services.

Again, those concerned with alcohol education for youth find themselves in a most uncomfortable situation, experience far more powerful impact of the classic temperance and limbo periods than do those in the medical or legal fields and at the same time show all the strain imposed by the general external criticisms and internal self-doubts so manifest in the American educational world this past 20 years. Their dilemma is well-illustrated by observation of the disagreements expressed by some about *what* classes while others are questioning whether the school should have a major role *at all* in this specific area of both personal and social behavior, an area rendered doubly disturbing because of laws about age restrictions which are quite generally violated, certainly in spirit and extensively in fact, with quite general equanimity by all concerned.

There is fractionalization and turmoil within each of the different action spheres and research spheres and between these different spheres. The outstanding manifestation, perhaps, is the utter absence of any national policy on the problems of alcohol.

And yet, despite the lack of any comprehensive national philosophy or program, and despite the fractionalized turmoil in study and service, and despite the continuing manifestation both of the old simplistic warfare of Wets and Drys and also of the avoiding, evading responses of the 1920s and 30s, despite these liabilities, I would say with real conviction that the major characterization of the present day is one of *hope*.

It is an old saying in this country that "While there is life there is hope." The big difference vis-a-vis movements to combat alcohol problems between 1938 and 1968 is the matter of "life." Where before there was monolithic hostility, carrying massive evasion and avoidance as its major consequence, there has been a following history of growing awareness, increased service, and increased study. True, this has been fractionalized; has been replete with isolated, narrow, and often warring factions with rigidly held, almost arrogantly held, beliefs; with an obvious lack of coherent philosophy and national policy. But it is a living, active, and growing field. And there are signs of a more mature, more comprehensive, and more discriminating approach:

The report of the Cooperative Commission; the movement toward collaboration between the largest of the alcoholism control programs; the renewed, constructive, and serious concern with temperance, this time with a small rather than a capital "T," this time in concert with, rather than up in arms against, other structures and forces in the society; the holding of international congresses. Of special note is the *Classified Abstract Archive of the Alcohol Literature*, now being used more and more widely, with its broad scope of subject matter; its extensive cross-referencing to all arts and sciences, and its continuity in scientific reporting—this last characteristic manifesting a major change from what may be called the fractionalization in time and history which has so plagued the research field. The current appearance of the *International Bibliography of Alcohol Studies* is yet another step in the same direction. Such developments, and there are others, indicate that the awareness and recognition of the past 25 years are leading to something beyond fractionalization and turmoil, are leading to a more dignified, comprehensive, rational, and effective program, one geared to other facets and forces in our national life, one which will increasingly control and finally prevent these extensive, intertwined, and, in large measure, unnecessary problems of our society.

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Code: MS1

Handout 3a—Study Guide: Managing the Changing Organization

1. What are some of the demands for change facing your program?

2. An alcoholism agency is an organization, but it does have some special characteristics that should perhaps be taken into account when considering the statements in this article. List a few that occur to you.

3. Look at figure 2 on p. 11. Where on the continuum between birth and maturity would you place your program? (Consider the whole halfway-house movement, not a particular halfway house.)

    1. Between 1 and 2
    2. Between 2 and 3
    3. Between 3 and 4
    4. Between 4 and 5
    5. Between _____

    What reasons do you have for your choice?

4. Complete the checklist on pp. 22 and 23 and record your ratings in your book and on the answer sheet provided.

Code: MS1

Handout 3b—Study Guide: Meeting the Problems of Alcoholism in the United States

1. List the main points of the article.

2. What events in your own experience confirm the points made in this article?

3. What events in your own experience run counter to the points made in this article?

4. What did you learn from this article that surprised you?

5. What aspect of this article would you like to discuss with your colleagues?

Code: MS1

Handout 3c—Reporting Sheet: Dimensions of Organization Renewal

When you have completed the checklist on pp. 22 and 23 of the article "Managing the Changing Organization," repeat your rating for each item by circling the appropriate number.

1	1	2	3	4
2.	1	2	3	4
3.	1	2	3	4
4.	1	2	3	4
5.	1	2	3	4
6.	1	2	3	4
7.	1	2	3	4
8.	1	2	3	4
9.	1	2	3	4
10.	1	2	3	4

Reference 1—Needs Assessment Form

(used in the development of this program)

To prospective training program participants:

It is our aim to develop training on program administration that will be as useful as possible to those who attend. To that end, we ask you to consider topics that might be included and to rate them in order of their importance to you in improving your ability to do your job effectively.

NCAE Staff

Directions: Listed below are six categories of knowledge and skills often needed by alcoholism program managers. Under each category (fiscal management, personnel, etc.) are listed some related topics. To help us design a training program most appropriate to your needs, please read each topic and circle the appropriate number as follows:

1 = important to include
2 = nice to include
3 = do not include
NA = not applicable; not part of my job.

Then, in the space provided, add any topics not on the list that you think are important to include in the training program, or comment on the topics listed. For example, is there a particular aspect of that topic that you find particularly troublesome or that you think should be emphasized?

FISCAL MANAGEMENT

Annual budget preparation	1	2	3	NA
Monthly and quarterly reports	1	2	3	NA
Financial records	1	2	3	NA
Good business practices	1	2	3	NA
Third-party payments	1	2	3	NA
Insurance	1	2	3	NA
Contracting for goods and services	1	2	3	NA
Where to look for funds	1	2	3	NA
Moneysaving techniques	1	2	3	NA
Director and board relationships	1	2	3	NA

Comments, suggested additional topics, etc.: _____

_____

_____

_____

PERSONNEL

Staff requirements, schedules, coverage	1	2	3	NA
Job descriptions, duties and responsibilities	1	2	3	NA
Salaries, benefits	1	2	3	NA
Job satisfaction (career development)	1	2	3	NA
On-the-job training	1	2	3	NA
Hiring and firing	1	2	3	NA
Resolving conflicts	1	2	3	NA
Policies for field placements (interns, graduate students)	1	2	3	NA
Use of volunteers	1	2	3	NA
Evaluating job performance	1	2	3	NA
Making assignments, delegating responsibilities	1	2	3	NA

Comments, suggested additional topics, etc.: _____

_____

_____

_____

PROGRAM

Program description	1	2	3	NA
Intake criteria, procedures, policies	1	2	3	NA
Resident records	1	2	3	NA
Resident rights	1	2	3	NA
Physical environment	1	2	3	NA
Monitoring activities	1	2	3	NA
Fire, zoning, and building codes	1	2	3	NA
Accreditation and other operating requirements	1	2	3	NA

Comments, suggested additional topics, etc.: _____

_____

_____

_____

COMMUNITY RELATIONSHIPS

"Continuum of Care" concept	1	2	3	NA
Influencing public policies and regulations on half way houses, etc.	1	2	3	NA
Locating potential resources	1	2	3	NA
Affiliate agreements	1	2	3	NA
Public relations (use of media)	1	2	3	NA
Liaison with agency representatives	1	2	3	NA
Coordination of resources for individual residents	1	2	3	NA
Referrals	1	2	3	NA

Comments, suggested additional topics, etc.: _____

_____

_____

_____

PLANNING

Determination of needs	1	2	3	NA
Setting realistic goals	1	2	3	NA
Establishing priorities	1	2	3	NA

Comments, suggested additional topics, etc.: _____

_____

_____

_____

USING DATA FOR DECISIONMAKING

As a basis for change	1	2	3	NA
Collecting relevant information	1	2	3	NA
Identifying problems	1	2	3	NA
Organizing and using information	1	2	3	NA

Comments, suggested additional topics, etc.: _____

_____

_____

_____

Now that you have rated the above topics, **please go back and indicate by using the numbers 1 through 6, the order of importance you attach to each category.** For example, if you think Community Relationships is the most important category, place a "1" next to it. If you think Fiscal Management is second in importance, place a "2" next to it, and so on.

Thank you for the time you have taken to complete this form. Please add any other comments you think would help the planners of the training program.

Reference 2—Program Goals

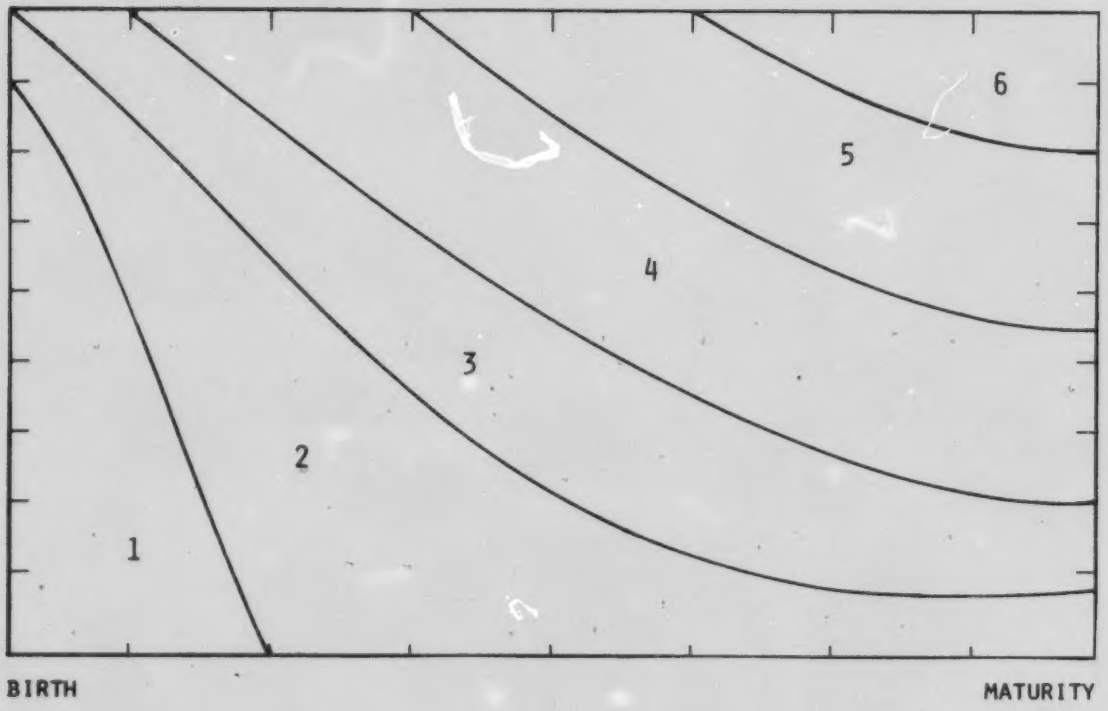
1. Each participant will attain increased understanding of the concepts of group process and increased skill in identifying helping and hindering behavior in an operating group.
2. Each participant will attain increased understanding of the relationships among program administration, the concept of management, and planning.
3. Each participant will attain increased awareness and understanding of the elements and issues associated with selected aspects of effective program administration, including:
   a. The board of directors and the relationship between the director and the board
   b. Long-range funding, budget preparation, and fiscal and statistical recordkeeping
   c. Personnel policies
   d. Relationships with regulating agencies, local service agencies, and community groups
   e. Communication and cooperation with other agencies and organizations.
4. Each participant will sufficiently refine and improve existing planning and analysis skills to identify a specific problem, or a need for change, in one of the above areas; develop a plan; and achieve some degree of improvement in the area selected.

Code: MS2A

Reference 1—Sample Matrix for Tabulation

	Excellent	Good	Fair	Poor
ITEM	1	2	3	4
1				
2				
3				
4				
5				
6				
7				
8				
9				
10				

Reference 2—Changing Organizational Needs



Code: MS2B

Reference 1—Descriptive Terms and Discussion Questions for Who's Here Exercise

First Page of Flipcharts

1. Print one of these words on the first page of each of four flipcharts: learner, helper, teacher, friend
2. These discussion questions are printed on each flipchart under the printed word:
   a. What are the characteristics of this role?
   b. What are the benefits to the client of being such a person?
   c. Do you feel your clients perceive you in this manner? Why?

Second Page of Flipcharts

1. Print one of these words on the second page of each of the four flipcharts: laissez-faire, democratic, collaborative, or commanding.
2. These discussion questions are printed on each flip chart under the word:
   a. How do you interpret this term?
   b. Why do you feel this is the best style?
   c. Can you think of situations where this style would be inappropriate?
   d. What do you think are some of the reasons you feel this way?

Third Page of Flipcharts

1. Print one of these words or terms on the third page of each of the four flipcharts: surviving, stabilizing, educating the public to your purpose, reassessment of goals and purposes.
2. These discussion questions are printed on each flipchart under the word or term:
   a. What factor most influences your choice?
   b. What problems do you see in performing this task?
   c. What kind of help do you need?

Handout 1—NASA Exercise Individual Worksheet

INSTRUCTIONS: You are a member of a space crew originally scheduled to rendezvous with a mother ship on the lighted surface of the moon. Due to mechanical difficulties, however, your ship was forced to land at a spot some 200 miles from the rendezvous point. During landing, much of the equipment aboard was damaged, and, because survival depends on reaching the mother ship, the most critical items available must be chosen for the 200-mile trip. Below are listed the 15 items left intact and undamaged after landing. Your task is to rank-order them in terms of their importance to your crew in allowing them to reach the rendezvous point. Place the number 1 by the most important item, the number 2 by the second most important, and so on, through number 15, the least important. You have 15 minutes to complete this phase of the exercise.

_____ Box of matches

_____ Food concentrate

_____ 50 feet of nylon rope

_____ Parachute silk

_____ Portable heating unit

_____ Two .45-caliber pistols

_____ One case dehydrated Pet milk

_____ Two 100-lb tanks of oxygen

_____ Stellar map (of the moon's constellation)

_____ Liferaft

_____ Magnetic compass

_____ 5 gallons of water

_____ Signal flares

_____ First-aid kit containing injection needles

_____ Solar-powered FM receiver-transmitter

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Code: MS2B

Handout 2—NASA Exercise Group Worksheet

INSTRUCTIONS: This is an exercise in group decision-making. Your group is to employ the method of group consensus in reaching its decision. This means that the prediction for each of the 15 survival items must be agreed upon by each group member before it becomes a part of the group decision. Consensus is difficult to reach. Therefore, not every ranking will meet with everyone's complete approval. Try, as a group, to make each ranking one with which all group members can at least partially agree. Here are some guides to use in reaching consensus:

1. Avoid arguing for your own individual judgments. Approach the task on the basis of logic.
2. Avoid changing your mind only in order to reach agreement and avoid conflict. Support only solutions with which you are able to agree somewhat, at least.
3. Avoid "conflict-reducing" techniques such as majority vote, averaging, or trading in reaching your decision.
4. View differences of opinion as helpful rather than as a hindrance in decisionmaking.

_____ Box of matches

_____ Food concentrate

_____ 50 feet of nylon rope

_____ Parachute silk

_____ Portable heating unit

_____ Two .45-caliber pistols

_____ One case dehydrated Pet milk

_____ Two 100-lb tanks of oxygen

_____ Stellar map (of moon's constellation)

_____ Liferaft

_____ Magnetic compass

_____ 5 gallons of water

_____ Signal flares

_____ First-aid kit containing injection needles

_____ Solar-powered FM receiver-transmitter

Handout 3—NASA Exercise Scoring Instructions

The group recorder will assume the responsibility for directing the scoring. Individuals will:

1. Score the net difference between their answers and correct answers. For example, if the answer was 9 and the correct answer was 12, the net difference is 3. Three becomes the score for that particular item.
2. Total these scores for an individual score.
3. Next, total all individual scores and divide by the number of participants to arrive at an average individual score.
4. Score the net difference between group worksheet answers and the correct answers.
5. Total these scores for a group score.
6. Compare the average individual score with the group score.

RATINGS:

0-20 - Excellent
20-30 - Good
30-40 - Average
40-50 - Fair
over 50 - Poor

Handout 4—Elements of Group Work

A. What is a group?

A group is a collection of people who have the following characteristics:

1. Think of themselves as a group
2. Share a common purpose or goal
3. Value the contributions of each member
4. Develop an open and trusting climate
5. Pay attention to how the group members work together
6. Can, when they choose, work together as a single entity.

B. What conditions warrant group work?

Conditions that warrant group work are established when the following conditions prevail:

1. Information needs to be conveyed to a number of people.
2. An opportunity for members to seek clarification is needed.
3. Issues are too sensitive or complicated to be adequately conveyed in memos, reports, or other written forms.
4. A good climate is needed to give impetus for future action.
5. A problem can be solved more effectively through the creative interaction of group members rather than by an individual working alone.
6. Adequate time is available for a group to meet and discuss problems or issues.

C. What are the criteria for effective group work?

In order for a group to work effectively, the following criteria must be met:

1. An informal, permissive, supportive climate where individuals can be honest and candid with one another
2. A feeling of mutual trust and respect between members
3. Definitions and explanations of problems and goals that can be clearly understood by all members.

D. What are the key benefits of group work?

Some of the key benefits that result from group work are as follows:

1. Improvement of the morale of individuals and subsequently of the productivity of an organization
2. Better solutions to problems and better plans for future action
3. Increased efficiency in terms of use of time
4. Increased involvement and commitment to tasks by group members
5. Reinforcement of a sense of self-worth and personal growth on the part of individual members
6. Promotion of a feeling of cohesion among group members.

Reference 1—Detailed Rationale for Participant Presentations

Participant presentation as a training activity has several purposes. First, it provides opportunity for participants to share their knowledge and experience in halfway-house management in a formal way. Second, it is a means for individualizing the program by permitting each participant to select a topic that is of particular interest to him. Third, the time required for planning and preparation creates a setting for participants to work with each other outside the program sessions. Fourth, participants who may be reluctant to contribute in session discussions are heard. And finally, the presentation provides participants an opportunity to prepare and implement a plan to achieve specific objectives and to receive immediate information about the effectiveness of their performance.

The topics and guidelines for the presentations are introduced and explained during the first full day to permit participants time to make their selections, to organize their groups, and to prepare the presentation. The presentations are scheduled at appropriate points in the program to fit the overall plan and sequence of session topics.

It should be made clear to the participants that the presentations are an integral part of the program, that the topics are not covered in other sessions, and that the material included in the presentations is essential to the achievement of program goals and objectives.

The instructions and materials for the participant presentations are based on 15 participants. If more people attend the program, increase the size of the presentation groups according to the following guidelines:

Use of volunteers	2
Ideas for followup programs	1
Associations	1

Code: MS2C

Reference 2—Participant Presentations Signup Sheet

TOPIC	PARTICIPANTS
Use of volunteers	
Appraisal interviews	
Ideas for followup programs	
Associations	
Philosophy of funding for halfway-house programs	

Handout 1—Participant Presentations—Topics and Objectives

Topic	Objective(s)	Date	Length of Presentation	No. of Participants
Use of volunteers	Given a list of agency activities, check those that are most appropriate for volunteers according to recommended criteria.		30 min.	2
Appraisal interviews	List the three types of appraisal interviews, and briefly describe the distinguishing feature(s) of each.		1½ hrs.	6
Ideas for followup programs	List at least two reasons why a vigorous followup activity is an essential part of the alcoholism program.		45 min.	3
Associations	List at least three tasks that must be performed when starting a State halfway-house association. List at least two sources of help and information available to anyone wishing to start a State association.		30 min.	2
Philosophy of funding for halfway-house programs	Give two reasons cited by the author for a halfway house to avoid becoming a treatment facility. Briefly describe the position of the author on multipurpose halfway houses. Name two recommended ingredients of the partnership approach to halfway-house operation.		30 min.	2

Handout 2—Checklist of Resource Materials by Topic

(needed for participant presentations)

Topic	Items	Number Needed
Philosophy of Funding for Halfway-House Programs	"Philosophy of Funding for Halfway House Programs" by H. Leonard Boche	
	Guidelines (2a)	
	Appraisal Form (2b)	
Use of Volunteers	Suggestions for Use of Volunteers (2c)	
	Guidelines (2a)	
	Appraisal Form (2b)	
Appraisal Interviews	"Three Types of Appraisal Interview" by Norman R. F. Maier (2e)	
	Guidelines (2a)	
	Appraisal Form (2b)	
Ideas for Followup Programs	Suggestions for Followup of Former Residents (2d)	
	Guidelines (2a)	
	Appraisal Form (2b)	
Associations	Samples of Bylaws for various State associations (2f)	
	AHHAP publications	
	Guidelines (2a)	
	Appraisal Form (2b)	

Handout 2a—Guidelines for Participant Presentations

1. The presentation will be appraised in terms of the following criteria:
   a. 90 percent of participants score 90 on posttest.
   b. Presentation completed within allotted time.
   c. Satisfactory, or better, ratings on four out of six items on the appraisal form.
2. Objectives may be modified with approval of program leaders based on adequate justification by presenters.
3. All presenters on team must share equally in planning, preparation, and presentation of topic.
4. Any available resources may be used as needed to assist in planning and preparations. Check first with program leaders.
5. Prepare the posttest by writing on a flipchart, large enough to be seen from a distance, one item for each of your presentation objectives. In the case of the "Volunteers" presentation, prepare a numbered list containing some, but not all, of the recommended volunteer activities along with inappropriate volunteer activities in random order. Participants are instructed to write down the numbers of the appropriate activities.
6. Plan the presentation to include time for the participants to complete the posttest and the appraisal form.

Handout 2b—Participant Presentation Appraisal

1. For items a-d, rate each aspect of the presentation given below by checking the appropriate box. Use the space at the bottom of the page to make comments which support your ratings.

AREA OF PERFORMANCE	RATINGS OF PERFORMANCE			
	Needs Improvement	Satisfactory	Above Average	Superior
a. Adequacy of planning for presentation in relation to session objective(s)				
b. Development and use of effective technique(s) of presentation				
c. Rapport with participants				
d. Extent to which presentation was audible, interesting, easy to follow				

2. How would you rate the presentation with respect to its usefulness for looking at problems?

Poor				Excellent
1	2	3	4	5

3. How would you rate the material presented in terms of its possibilities for direct application to problems you have already identified?

Poor				Excellent
1	2	3	4	5

Please add here any comments you might have:

_____

_____

_____

Handout 2c—Suggestions for Use of Volunteers

Interested lay and professional people can serve beneficial adjunct roles in a program. However, those roles must be clearly delineated and thoroughly understood by the clients, the staff members, and the volunteers. Examples of appropriate volunteer activities include the following:

1. Arranging for and providing transportation when necessary
2. Providing supplies and equipment
3. Assisting in the planning and organization of recreational activities, as well as participating in them when appropriate
4. Providing gifts and/or refreshments for special occasions
5. Arranging entertainment events at the center
6. Assisting residents in finding jobs and, eventually, living accommodations
7. Arranging for tickets or passes to entertainment events
8. Teaching and/or making available grooming techniques and activities (e.g., hairstyling, fashion shows, clothing selection, makeup).

Code: MS2C

Handout 2d—Suggestions for Followup of Former Clients

The staff should make a serious effort to maintain intermittent but regular contact with former clients. Such contact can do much to assure the continued social, vocational, and general community adjustment of the residents after discharge.

Among the ways that an agency can retain contact with former residents are the following:

1. Circulating a newsletter
2. Sponsoring annual or semiannual get-togethers or outings
3. Using volunteers as followup workers.

Existing community agencies and organizations can also be used in followup activities. For instance, these are in excellent positions to assist an agency: the A.A. sponsorship system, vocational rehabilitation counselors, social workers, and community health nurses.

Where a central tracking system exists, it can also contribute to the followup process.

Handout 2e—Three Types of Appraisal Interview

Norman R. F. Maier

One of the most common procedures in company executive-development programs is the appraisal of a man's performance, followed by an interview in connection with the appraisal. This procedure may be set up in various ways, but it is always adapted to the line of organization and always requires the holding of interviews.

The skill of the interviewer is an important factor in the success of this plan and is a general managerial requisite, since appraisal interviews are conducted by supervisors at all levels. Unless skillfully conducted, however, such an interview may be an unpleasant experience for both parties and cause the interviewee to resist improving on the job. Fortunately, an interview that is satisfactory to the interviewer is likely to satisfy the interviewee as well, and hence can be a constructive experience for both.

While it goes without saying that two interviewers may differ in skill, it is equally true that two *skilled* interviewers may practice quite different methods. It also follows that, while each method requires its own specific skills, more can be accomplished with the superior method, even when skills are equal.

This differentiation between skill and method is important because the goal of the interview determines which method should be used to achieve it; and once we have clarified the goal in any activity, the problem of developing the necessary skills is greatly simplified. If, for example, in driving a golf ball, we are aiming at direction rather than distance, the skill we are concerned with is the orientation of the body while swinging rather than force of stroke.

Unlike our somewhat simplified example, however, appraisal interviews may have various and sometimes conflicting objectives. Among them we may note: (a) to let subordinates know where they stand; (b) to recognize their good work; (c) to point out how and where they can improve; (d) to develop them on their present job; (e) to develop and train them for higher jobs; (f) to let them know how they may progress in the company; (g) to serve as a record for assessing the department or unit as a whole, showing where each person fits into the larger picture; and (h) to warn some employees that they must do better. It is frequently supposed that several or all of these objectives may be achieved by a single interview, but this is not the case.

Conflicting Objectives

The differences between these objectives, however slight, will affect the whole course of the interview. For example, "letting an employee know where he stands" suggests a fairly comprehensive report, while an interview for the purpose of recognizing an employee's good work can be much more selective in content.

When the interview serves as a warning, some companies require the employee to sign an appraisal form. This precludes his saying at a later time that he was not told his work was unsatisfactory. However, the requirement of a signature is inconsistent with goals other than warning.

A discrepancy between the goals of the interviewer and the interviewee may also cause difficulties. For example, in praising a very superior employee who has many virtues and few faults, the interviewer may make a minor criticism or pass over something as merely "satisfactory." However, the employee may regard this as unfavorable and feel crushed by any suggestion that he should improve.

On the other hand, a supervisor may treat a weak subordinate with kid gloves to avoid hurting his feelings. Thus he may call the employee's best point "quite satisfactory" although in reality it is only about average, and praise him highly for effort. The employee may emerge from the interview feeling relieved and perhaps more secure than he should, considering his limited prospects.

This article will describe three types of appraisal interviews, each with a specific and slightly different objective. The differences are important in determining the skills required and, to a great extent, actually call for different skills from the interviewer's repertoire. A unique interaction characterizes each method, so that the three differ in kind rather than in degree. The three methods may be described as Tell and Sell, Tell and Listen, and Problem-Solving.

The Tell and Sell Method

The initial aim of the Tell and Sell method is to communicate the employee's evaluation to him as accurately as possible. The fairness of the evaluation is assumed, and the supervisor seeks (a) to let the employee know how he is doing; (b) to gain his acceptance of the evaluation; and finally (c) to get him to follow the plan outlined for his improvement. These three goals seem, at first glance, to be consistent with each other and, in some circumstances, they undoubtedly are so.

If it is assumed that people desire to correct faults, that the superior's judgment is acceptable to the subordinate, and that the subordinate is able to change in the direction specified, then the desired aims can be achieved. However, it is not unusual for subordinates to regard their supervisors' expectations as unreasonable, their criticisms as unjustified, and the methods of work they suggest inefficient. It is also unrealistic to expect a person to improve merely because he wants to. He may strive to make wise decisions, be patient, get along with people, conduct conferences effectively, and stand up under strain, but such behavior may not be subject to his voluntary control.

While improvement in such things as getting to work on time, turning in honest expense accounts, and working hard is usually considered a matter of volition, here, too, more than a wish may be necessary. Frequently, the problem is one of adjustment rather than motivation. Emotional maladjustment requires therapy, and improper attempts to make improvements may aggravate rather than correct the condition.

For purposes of this discussion, it will be assumed that extreme cases are the exception and that the interviewer is going to deal with management people who are able to take criticism.

The Necessary Skills

Considerable skills are necessary for success in the Tell and Sell type of interview. They include the ability to persuade the employee to change in the prescribed manner, and this requires knowing how to use the incentives that motivate him and sometimes developing new ones. The salesman must know his customer, and the selling of an evaluation makes the same demands on a supervisor.

The method becomes especially difficult if the interviewer encounters resistance. Since he usually sees himself in the role of doing something for the employee's good, any failure to appreciate this gesture places the interviewer on the defensive. Thus, the situation may become strained or deteriorate into obvious hostility.

However, the employee usually senses his supervisor's increased aggression before it is too apparent, and consequently refrains from questioning the evaluation. The passive resistance and verbal agreement that follow are often taken as acceptance of the evaluation by the interviewer. When the employee retreats from discussion, the supervisor may feel more obliged to talk and may end up lecturing or preaching.

Defensive feelings, whether expressed or covered up, are a natural reaction of the employer to this type of interview. The supervisor is cast in the role of a judge, while the employee wants to make as good a showing as possible and tries to conceal any weaknesses. As the supervisor can never know all the circumstances and provocations, his criticism is apt to seem unjust.

Once the subordinate questions his superior's evaluation, a face-saving situation is created. Unless the interviewer is very patient or something happens to break the chain of events, the conflict will become more acute. Since the superior usually has some power at his disposal, the subordinate invariably learns to give in. Subordinates often develop a degree of insensitivity to criticism on these occasions. The general viewpoint in the organization may be, "everybody gets criticized during appraisal interviews, so you just take it with a grain of salt." Some interviewers attempt to comfort their subordinates by telling how they, too, are evaluated and criticized.

Although the Tell and Sell interview may be unpleasant for both parties, this does not prove that it lacks merit. Correction usually is unpleasant, and almost everyone can recall discarding faults because of criticism that once was painful. Certainly, faulty behavior can be inhibited or replaced by having someone point out a better way. The crucial issue is finding the most effective approach. Both motivation and training are essential to change.

When a man lacks the skill or knowledge to do his job in the way his superior desires, the problem is one of training or transfer. If an employee is worthy of development on his present job, the interviewer should clarify the job demands and indicate where and how the employee can acquire the desired knowledge or skills.

Motivation to Change

The fact that people often want to do a job effectively may be sufficient motivation to adopt the correct methods and habits. The desire for the boss' approval may also provide motivation.

However, sometimes an employee has his own views about a job or does not wish to reveal his lack of ability to change. If he has "bad" habits or is negligent in certain respects, he may resist change because the undesirable behavior is attractive to him. In such instances, new motivation is necessary. One way is to make the old behavior unattractive by punishment and threats of discharge. This is similar to removing an undesirable growth by surgery. The operative approach is unpleasant for the employee because he must either give up the behavior he likes or suffer the consequences.

Another way is to make an alternate response attractive by rewarding it. This substitution method is usually more pleasant and effective than the operative, not only because punishment is unnecessary but also because an alternative is supplied. Thus a child's emotional disturbance is reduced if a broken toy is replaced by another, and a smoker will find it somewhat easier to give up cigarettes if he substitutes gum. However, something pleasant (a reward) must be added in order to make the choice attractive and voluntary.

Both methods require that an external motivating factor be added to one of the alternatives; a negative incentive (punishment) must be connected with the undesirable behavior, or a positive incentive (reward) with the acceptable alternative. This form of motivation is *extrinsic* to the activity, in contrast with *intrinsic* motivation in which the activity itself is satisfying. When extrinsic motivation is used, the new behavior is not accepted for its own sake, but for other reasons.

Both the type of motivation used and the defensive attitudes aroused limit the effectiveness of the Tell and Sell method. Frequently, the subordinate accepts the evaluation or says he does in order to get out of the interview situation. But the fact remains that a selling method permits only two courses of action: continue as before versus change to the superior's plan. However, plans for improving a work situation and ways to deal with a behavior problem can seldom be reduced to two possibilities.

Advantages and Limitations

A plan may be effective in one situation while it fails in another. The Tell and Sell method has its greatest potential with young and new employees, who are inexperienced and insecure and want the assurance of an authority figure. They are likely to respect the superior not only because of his position but also because of his greater knowledge and experience. Similar reactions usually occur in employees who are new on an assignment.

Individual differences also play a part in reactions to the Tell and Sell method. Persons who are easygoing, uncritical, somewhat unimaginative, and ready to accept authoritarian leadership are most able to profit from it.

From the company's viewpoint, the method is efficient, providing it works. Presenting an evaluation takes less time than discussing it, and if the employee accepts the presentation, a fairly complete interview can be held in about 15 minutes. However, if the appraisal is resisted, considerable time may be required to achieve the potential gains of this method.

Although the Tell and Sell method may produce positive results under favorable conditions, it also may do more harm than good. When, for example, a subordinate thinks his appraisal is unfair, he may feel that his interests and the company's are no longer compatible. Loyalty depends on mutual interests, and both the supervisor and the company may lose men's loyalties in the process of conducting appraisal interviews.

Again, if the interview is unpleasant, the day-to-day relationship between supervisor and subordinate may become strained, and job satisfactions decreased for both.

However, the greatest risk occurs, particularly in appraising middle and top management, when the subordinate accepts the judgment of his superior and tries to please him instead of giving his best thinking to the job. Every language has a phrase for a "yes man," and no superior wants to develop an employee into one. Yet the Tell and Sell method is bound to encourage this type of subordinate, for it assumes that the boss knows best—he is the father figure who dispenses rewards and punishments. Such an executive expects his men to want to please him, and they soon learn what he expects of them, often competing with each other to gain his favors. Although the boss may ask his subordinates to make independent judgments and take initiative, the fact that he appraises

and recommends motivates the weaker among them to find out what he wants and to do it his way. To forestall criticism, some even adopt the boss' manners and dress. Thus, when this method works, it is likely to develop dependent, docile behavior, and when it fails, rebellious behavior may result. Needless to say, neither extreme is desirable.

Finally, what is the overall effect on company philosophy and values? Organizations vary in the extent to which they are receptive to new methods and ideas. When evaluations are made from the top down, it is difficult for new ideas to enter, unless top personnel are recruited from outside the company. However, this may require overcoming resistance to changes down the line and is often impractical. Since the Tell and Sell type of interview makes no provision for upward communication, it tends to perpetuate existing values. Although changes may occur effectively when initiated from the top or when approved by the proper superiors, there is no means of stimulating new ideas. While both radicalism and conservatism with respect to change have unique values, each makes its contribution under different circumstances. Insofar as conservatism rather than change is desired, the Tell and Sell method is effective.

The Tell and Listen Method

The Tell and Listen method of conducting an appraisal interview is often viewed with skepticism because the role of the interviewer seems somewhat unnatural and ambiguous with respect to authority. The goal here is to communicate the evaluation to the employee and then let him respond to it. The interviewer covers his strengths and weaknesses during the first part of the interview, postponing points of disagreement until later. The second part is devoted to thoroughly exploring the subordinate's feelings about the evaluation. Thus the superior, while still in the role of a judge, listens to objections without attempting to refute them. In fact, he encourages the employee to disagree, because the objective is not only to communicate the appraisal but also to drain off any negative feelings it arouses. The cathartic value of the verbal expression of frustrated feelings is assumed.

The initial reactions are similar to those of the Tell and Sell method, since both begin with a presentation of the evaluation. However, the methods differ radically as regards the way disagreement and resistance are handled. Instead of the interviewer dominating the discussion, he sits back and becomes a nondirective counselor* during the second part of the interview.

Skills of this Approach

The skills of this approach are (a) active *listening*—accepting and trying to understand the employee's attitudes and feelings; (b) making effective use of *pauses*—waiting patiently without embarrassment for the other person to talk; (c) *reflecting feelings*—responding to feelings to show understanding; and (d) *summarizing feelings*—to indicate progress, show understanding, and emphasize certain points, as well as to end the interview. None of these skills implies that the interviewer either agrees or disagrees with the employee. Rather, they suggest the possibility that the evaluation may be unjust and even incorrect, and that the employee should accept only ideas which may be helpful.

Since it is assumed at the outset that there are two sides to the appraisal, face-saving issues are not aggravated. As the superior doesn't expect the subordinate to agree, he feels no need to defend his evaluation. The unpleasant aspects of the interview are reduced, for he has a method for dealing with the employee's defensive responses and is better able to understand and respect his feelings. Consequently, he will be less inclined to avoid conducting appraisal interviews than the Tell and Sell interviewer, who may be overanxious.

The motivating factors in the Tell and Listen interview are somewhat complex. Since fears of reprisals and of displeasing the superior are reduced, inadaptive defensive behavior fanned, in part, by these fears is less likely to occur. Thus the countermotivation known as *resistance to change* is lessened by the counseling process, but the tendency to change to avoid displeasing the boss is sacrificed. Which of these two opposing motivations is stronger will vary in individual instances.

There is also the positive motivation that comes from having a pleasant interview with the boss. Hostility is minimized, and the subordinate feels accepted and important. These feelings are conducive to forming a constructive attitude toward growth. Thus, a subordinate

*C. R. Rogers, Counseling and Psychotherapy, Houghton Mifflin Company, Boston, 1942, p. 450.

tends to want to please a supervisor he likes more than one he fears. When fear is dominant, a person, at best shies away from wrongdoing, but does not extend himself to perform beyond the call of duty.

The motivations discussed so far are *extrinsic* in that they lie outside job activity, and the work itself has not been made more interesting. However, some increase in job interest is possible. Intrinsic motivation would occur if the interview resulted in (a) solving some job problems; (b) clarifying certain misunderstandings between supervisor and subordinate; or (c) solving a personal problem. These gains are most probable in instances where the employee's job performances are deficient. The interview might also result in improvements in the work climate—another element of job interest.

If the superior listened and *learned* from the interview, additional gains would be possible. The superior might modify job assignments and expectations, alter his evaluation, perceive the subordinate's job differently, or discover his own negligence in training and assisting. However, it takes an exceptional interviewer to learn from the interview. Since the appraisal is made before the interview, most interviewers feel committed to uphold it.

Benefits of the Method

This method usually insures a good relationship between superior and subordinate during the interview. The employee is likely to leave with a positive attitude toward the supervisor, feeling that the interview has been worthwhile and that he is important to the company. The interview provides an opportunity for the superior to learn his subordinate's needs, although his impressions may be incorrect.

However, there is some risk that the interview may not achieve its first objective—letting the employee know where he stands. In addition, while the employee may gain new insights which may cause him to change, he is not likely to discover ways for improving job performance. Thus he may leave the interview with satisfaction but without a program for developing on his job.

The values promoted by the Tell and Listen interview are those of tolerance and respect for the individual. Thus the method tends to make supervisors employee- rather than production-minded, an attitude which generally stimulates higher morale.* However, while high morale and productivity frequently are related, there may be variations in productivity among groups that have equally high morale.

The greatest value of this method comes from the fact that the interviewer may profit from the interview. Change initiated from below may occur when a subordinate is able to influence his superior's views on how the job may be improved in (a) supervision, (b) work methods, (c) job assignments, and (d) job expectations. Frequently, superiors once performed the jobs of the men they now supervise, and very often expect their subordinates to act just as they did. Since people differ and times as well as jobs change, this expectation, while understandable, is usually impractical. In any event, a superior's expectations, at best, tend to restrict initiative and inhibit improvements. Although some of this loss may be recouped by using suggestion boxes, it is important not to stifle new ideas by an appraisal program that was designed to develop employees. A supervisor who listens and learns may encourage upward communication in deed as well as in word. The belief that constructive *forces* for change may spring from below can become an important part of organizational philosophy.

The Problem-Solving Approach

The Problem-Solving method of appraisal interview has grown out of the author's recent studies of executive development. Of the three methods presented here, it deviates the most from a commonsense view. It takes the interviewer out of the role of judge and makes him a helper. Although the interviewer may want to help his subordinate, in the other two types of interview, this is difficult because the process of appraising is inconsistent with that of helping. It may appear that the purpose of the interview is lost if the appraisal is not directly communicated to the subordinate. However, one must also recognize that the development of the employee often is the primary reason for conducting an appraisal interview and that this objective may be lost in the process of communicating the evaluation.

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*D. Katz, N. Maccoby, and N. C. Morse, Productivity, Supervision and Morale in an Office Situation, University of Michigan, Institute for Social Research, 1950, p. 84.

As has been said, appraisal interviews may serve a variety of purposes, of which development is one. Although the two other methods discussed communicate the appraisal to the subordinate, they do not assure his understanding and acceptance. The Problem-Solving approach has no provision for communicating the appraisal, and indeed it may be unessential for this purpose. If the appraisal is required for other reasons, it may be desirable to delay making it until after the interview.

The goal of employee development immediately establishes a mutual interest between the interviewer and his subordinate. Both would like the employee to improve on the job and agree that the boss could assist him. When the subordinate accepts this help-giving role of his supervisor, he is more willing to describe his difficulties. However, when the boss passes judgment on his job performance, their interests conflict. On the one hand, the employee wants to impress his boss favorably and hide his weaknesses. The interviewer, on the other hand, wants to avoid being deceived and to discuss weaknesses. Mutual interests are present only so long as the employee's merits are being praised and end when the interviewer indicates that he is somewhat less than satisfied.

Since the objective is employee development, the interviewer cannot specify the area for improvement, because this would be making a judgment. He must limit his influence to stimulating thinking rather than supplying solutions, and be willing to consider all ideas on job improvement that the employee brings up. His function is to discover the subordinate's interests, respond to them, and help the employee examine himself and the job. He must forget his own viewpoint and try to see the job as the employee sees it. If the employee's ideas seem impractical, the interviewer should ask questions to learn more specifically what the employee has in mind. Often the ideas may seem difficult to accept because they are misunderstood or viewed from a different frame of reference. Communication may be faulty unless each person tries to understand the background, attitude, and experience of the other.

When the interviewer finds that a subordinate's thinking is naive, he must be willing to assume that a problem-solving discussion is the best way to stimulate growth and sophistication. If an employee can grow in this manner, he need not know that he has had weaknesses and faults. The process may be compared to the training of children. Telling a child that he is gawky and uncoordinated does not help him to become graceful and skilled. As a matter of fact, he will probably improve more if left to himself, instead of being exposed to extensive fault-finding. However, people are often so concerned with the faults they observe that they find it difficult to suppress comments and advice. Thus, a supervisor's knowledge and experience will not help his subordinate unless the supervisor knows how to share them constructively.

Exploring Solutions

Problem-Solving is characterized by the exploration of a variety of solutions. It is inhibited when a person feels threatened by an evaluation which directs attention to him rather than to the situation. When a person is placed in the spotlight, he tries to hide his defects and to protect himself by defensive behavior. As long as he defends himself, he is not searching for new or better ways of performing. If an evaluation is very threatening, it may arouse hostile and stubborn reactions which further delay problem-solving.

The Problem-Solving approach uses nondirective skills similar to those of the Tell and Listen method—listening, accepting, and responding to feelings. The interviewer should be especially alert to expressions of concern at the start of the interview. Such a remark as "Well, this is the day we get overhauled, I suppose," should be met with a statement like, "I daresay you think these interviews are rough on people in some ways." However, the objective of the Problem-Solving interview is to go beyond an interest in the subordinate's feelings to a discussion of the job. If the employee is not overanxious, the interviewer can ask questions about the job at the beginning. While such questions are directive, they do not limit the views and feelings that can be expressed.

In some instances, the various job activities should be discussed and evaluated. Differences in perceptions of what the job is may account for some unfavorable points in the evaluation. Thus, the interviewer might learn that the subordinate saw his job as "getting an assignment finished on time, regardless of the feelings of others" and that he had gained this mistaken impression from a previous reprimand. However, the differences should be passed over, serving merely to enlighten the interviewer about the need for better job descriptions,

training, or communication. Once the job is analyzed in terms of the way it is done, some time can be spent discussing the ideal working conditions.

If mutual understanding of the job has been accomplished in previous interviews, the employee can be asked to review the year's progress and discuss his problems, and satisfactions. The idea is to make the interview an opportunity to get the boss' ear.

As has been said, the superior should consider all the ideas presented. By restating them in somewhat different words, the interviewer may test his understanding, and show his interest in considering the changes suggested. He need not agree or disagree with the ideas in order to understand and consider acting upon them.

When the employee expresses numerous ideas, it may be wise to jot them down. Making such a record is an act of accepting without taking a stand for or against. The ideas can be evaluated later on and the best ones selected. In this way none are called poor; some just fail to survive.

Skillful Questioning is Needed

Skillful questioning can stimulate a subordinate to evaluate his ideas and plans. The questions should not put him on the spot, but should indicate that the listener wants to get the complete story. The following may serve as examples of questions of this kind:

- Can this plan of yours deal with an emergency situation, in case one should arise?
- Would you have other people at your level participate in the plan?
- What kinds of problems do you anticipate in a changing market?

Exploratory questions are effective in drawing a person out and making him think more clearly; they may also serve to direct analysis to areas that may have been overlooked.

The use of summaries and pauses, already touched upon in discussing the Tell and Sell method, is equally helpful in the Problem-Solving interview. Pauses, in fact, perform an additional function in the latter technique, since they allow the subordinate to explore and evaluate ideas without feeling the pressure of time. If a subordinate is free to analyze the job with the prospect of influencing improvements in it, he will be motivated to think constructively, in a mature and responsible way. The problem of gaining his acceptance of any changes is nonexistent because he has suggested them.

The Problem-Solving approach motivates original thinking because it stimulates curiosity. Curiosity is a strong drive and, as long as fear is not aroused, leads to exploratory behavior. For example, children will explore a free and secure environment but stop in the face of danger or threats of punishment. Problems offer opportunities to explore, and their solutions lead to new experiences. Some *extrinsic* motivations such as gaining approval or avoiding failure may be present, but essentially the problem-solving activity has interest in itself. This *intrinsic* motivation is present in many things we like to do and is an important aspect of play. If it could be made a larger part of the job, then work would become more like play.

A reexamination of the job is bound to suggest some changes because certain aspects are usually more satisfactory than others.

There are four different ways of improving job satisfaction: (a) the job itself may be reorganized or enlarged; (b) the subordinate's perception of the job may be changed; (c) the superior's understanding of a man's problems may be increased so that he will relate differently to his subordinate, supply assistance in the form that is needed, or improve communications; and (d) the opportunity may be created to solve problems of a group nature involving relationships among the various subordinates who report to the interviewer.

Since job satisfaction may be approached in various ways, some improvements should be possible for the employee. If none comes under discussion, the interviewer may ask questions to stimulate exploration of the various areas. Once different possibilities are examined, a selection can be made in terms of practicality and interest. If the goal is to improve things in some way that is in line with the employee's wishes, then there is good assurance that a change will occur.

However, in order to achieve improvement in the direction desired by the subordinate, the superior must sacrifice his right to determine the change. It may turn out that both will agree, but in order to gain the change that the subordinate will accept, the interviewer must not attempt to impose his own views.

In the event that a subordinate does not express any ideas and fails to respond to the Problem-Solving approach, it may be assumed that this method has failed. However, the failure does not preclude the use of one of the other two methods.

Upward Communication

The Problem-Solving approach affords both the participants a highly favorable opportunity for learning and communicating. Training is usually considered a one-way process in which the superior gives his knowledge to the subordinate. The Problem-Solving approach, like the Tell and Listen method, stimulates upward communication. In addition, it creates a climate for high-quality decisions and changes, since it pools the thinking of two people who have supplementary experiences. Resistance to change is a common obstacle to progress, but this approach removes sources of resistance and stimulates change.

The interviewer places mutual interests above personal interests and respects the problem-solving ability of the subordinate. Exploring the job with an understanding superior stimulates new ideas and leads to increased job interest as well as a better use of the employee's talents.

The attitude of mutual respect cuts across barriers of rank, focusing attention on problems to be solved rather than on prerogatives, or status and personality clashes. It assumes that change is essential to an organization and that participation in change is necessary for individual growth.

Summary

This article has analyzed three methods of appraisal interviews and has shown that they produce different results. It has pointed out that the method is a function of the particular objective the interview is designed to serve and has shown that interviewing skills must be related to the objective as well as the method. The manner in which skills and objectives vary with the interviewing method is shown in the accompanying chart.

The chart also emphasizes the psychological differences between the methods—in the attitudes they reveal and the motivations they develop. It is hoped that this analysis will assist interviewers in adopting the methods and skills that support their particular objectives.

As has been said, commonsense is often misleading, and too many or opposing interviewing goals may make it impossible to achieve any of them.

From *The Appraisal Interview*, by Norman R. D. Maier. La Jolla, California: University Associates, 1975. All rights reserved.

Handout 2f—Cause and Effect Relations in Three Types of Appraisal Interview:

METHOD:	TELL AND SELL	TELL AND LISTEN	PROBLEM-SOLVING
Role of Interviewer	Judge	Judge	Helper
Objective	To communicate evaluation	To communicate evaluation	To stimulate growth and development in employee
	To persuade employee to improve	To release defensive feelings	
Assumptions	Employee desires to correct weaknesses if he knows them	People will change if defensive feelings are removed	Growth can occur without correcting faults
	Any person can improve if he so chooses		Discussing job problems leads to improved performance
	A superior is qualified to evaluate a subordinate		
Reactions	Defensive behavior is suppressed	Defensive behavior is expressed	Problem-solving behavior is encouraged
	Employee attempts to cover hostility	Employee feels accepted	
Skills	Salesmanship Patience	Listening and reflecting feelings	Listening and reflecting feelings
		Summarizing	Reflecting ideas
			Using exploratory questions
			Summarizing
Attitude	People profit from criticism and appreciate help	One can respect the feelings of others if one understands them	Discussion develops new ideas and mutual interests
Motivation	Use of positive or negative incentives (or both)	Resistance to change reduced	Increased freedom
		Positive incentive given	Increased responsibility
	Extrinsic in that motivation is added to the job itself	Extrinsic and some intrinsic motivation	Intrinsic motivation in that interest is inherent in the task

METHOD:	TELL AND SELL	TELL AND LISTEN	PROBLEM-SOLVING
Gains	Success most probable when employee respects interviewer	Develops favorable attitude to superior which increases probability of success	Almost assured of improvement in some respect
Risks	Loss of loyalty Inhibition of independent judgment Face-saving problems created	Need for change may not be developed	Employee may lack ideas Change may be other than what superior had in mind
Values	Perpetuates existing practices and values	Permits interviewer to change his views in the light of employee's responses Some upward communication	Both learn, since experience and views are pooled Change is facilitated

Handout 2g—Sample of State Bylaws, Application, and Ballot

Massachusetts Association of Halfway Houses for Alcoholics, Inc.

P.O. Box 1444
Springfield, Massachusetts 01101

CONSTITUTION AND BYLAWS

Adopted June 8, 1971, as amended August 15, 1972, with amendments incorporated during 1973 and including recommendations of the Ad Hoc Committee appointed on August 7, 1973, to study the Constitution and Bylaws and recommended necessary changes.

I. NAME

The name of this Association will be:

The Massachusetts Association of Halfway Houses for Alcoholics, Inc.

II. MEMBERS

The members of this association shall be those halfway houses, organizations, institutions, and individuals who have paid their annual dues.

There shall be three (3) categories of membership:

a) FULL Members—Halfway Houses for Alcoholics

b) ASSOCIATE Members—Those agencies, organizations, and institutions which refer individuals to Halfway Houses for Alcoholics and those halfway houses which are not located within the Commonwealth of Massachusetts.

c) INDIVIDUAL Members—Those persons who are interested in the improvement of the halfway house movement.

HONORARY Membership shall be granted selectively and carefully to those persons who have made a valuable contribution to the growth, welfare and success of this Association.

The term of membership, except for honorary membership, shall consist of a one (1) year period from the date of acceptance by the Executive Committee.

III. GOALS AND PURPOSES

The goals and purposes of this association are:

1. To insure continuous care and treatment for the alcoholic
2. To make certain that certain standards for halfway houses in the Commonwealth are maintained. These shall include, but are not limited to:
   a) Financial accountability
   b) Safety
   c) Cleanliness
   d) Staffing
3. To provide counseling service to alcoholic residents and outpatients
4. To arrange contractual agreements with medical facilities and with federal, state, municipal, county, or private groups
5. To provide guidance and assistance in establishing new Halfway House facilities
6. To educate the general public about the value and merit of the Halfway House as a successful mode of treatment for the alcoholic.

These goals and purposes shall be reviewed annually.

IV. DUES

Membership dues in this association shall be:

FULL Members—$25 per year

ASSOCIATE Members—$20 per year

INDIVIDUAL Members—$5 per year

A check in the proper amount shall accompany all applications for membership in this association.

Invoices shall be sent to all members 60 days prior to the date of membership renewal.

Any member not paying annual dues within sixty (60) days of being invoiced will be notified in writing that his membership has been terminated.

Upon acceptance of a membership application, the member shall be issued a Certificate of Membership signed by the president and including the date the membership ends.

The membership period shall run for a 12-month period from the date of the vote of acceptance of membership by the Board of Directors.

V. ASSOCIATE MEMBERSHIP

Associate Membership in this association is available as specified in Section II (Members).

Associate Members will be non-voting members, but will elect a representative to serve as a Director. This director shall be a voting member of the Board of Directors.

Each agency, institution, organization, or halfway house for alcoholics not within the Commonwealth of Massachusetts which becomes an associate member of this association shall designate one (1) person to be the official delegate to the association.

VI. OFFICERS

The officers of this association shall be:

President; Vice President; Secretary; Treasurer.

The officers shall be elected by the Full Membership.

Each officer and delegate may be a voting representative of only one agency.

The PRESIDENT shall preside at all meetings of the association. He shall, with the approval of the Board of Directors, appoint all standing and Ad Hoc Committees. He shall serve as an ex-officio member of all committees.

The VICE PRESIDENT shall serve in the absence of the president.

The SECRETARY shall keep the records of the Association. He shall keep the minutes of all regular and special meetings of the association. He shall notify the membership of meetings. He shall mail and tally all ballots and shall perform such other duties as may be assigned.

The TREASURER shall be custodian of the funds of the Association. He shall present a financial report at each regular meeting of the association.

VII. DIRECTORS

There shall be a Board of Directors for this association consisting of the duly elected officers and the following:

The representative of the Associate Members;

Three (3) Directors who shall be elected from the Full Membership of the association. One of these directors shall be elected to serve a term of two (2) years; the other shall be elected to serve a term of three (3) years; and the third shall be elected to serve a term of four (4) years.

The Board of Directors shall be empowered to conduct the affairs of this association in the interval between meetings.

The president may call a meeting of the Board of Directors when appropriate.

Any three (3) Directors may petition in writing for a meeting and the Board shall meet.

The Board shall meet monthly on a regular schedule.

The Board shall approve for payment all bills in excess of ten dollars ($10.00).

No association funds shall be expended nor obligated without the prior approval of the Board of Directors.

VIII. STANDING COMMITTEES

This association shall have the following standing committees:

Ethics Committee
Public Relations Committee
Legislative Committee
Membership Committee

ETHICS COMMITTEE

The Ethics Committee shall be responsible for implementing the association's Code of Ethics.

This committee shall be responsible for objectively examining any grievance or complaint brought against any member of the association. It shall present a report to the membership of its findings concerning these complaints or grievances and shall also present a recommendation to the membership concerning the action the membership can take against the offending member, if warranted.

LEGISLATIVE COMMITTEE

The Legislative Committee shall be responsible for keeping the membership of the association advised on local, state, and/or federal legislation that may affect the alcoholic, alcoholism, or halfway houses.

PUBLIC RELATIONS COMMITTEE

The Public Relations Committee shall be responsible for creating and implementing the overall public relations policy of the association.

MEMBERSHIP COMMITTEE

The Membership Committee shall be responsible for conducting membership drives to increase the membership of the association.

IX. CODE OF ETHICS

This CODE OF ETHICS, subscribed to by each member of the Massachusetts Association of Halfway Houses for Alcoholics, Inc., is to be used as a guide in the operation of halfway houses for alcoholics. It is hoped, that in following these principles of conduct, the halfway house will merit and receive the recognition and respect of the community it serves.

PRINCIPLES OF CONDUCT

I. To provide the alcoholic every reasonable care, protection, and opportunity for recovery through competent administration, professional staffing and businesslike management.

II. To establish proper relationships with physicians and other members of the medical profession for communication and advice on professional matters.

III. To establish proper relationships for good communication and cooperation with regulatory agencies, with ancillary organizations, agencies, and fellowships.

IV. To provide comfort, patience, understanding, assistance, and counseling to alcoholics and their families.

V. To establish ethical practices in advertising for employment and training of personnel.

VI. To share with other members of the association information for the common good of both the alcoholic and the halfway house.

VII. To maintain as a sacred trust any information of a confidential nature relating to the alcoholic or his family.

VIII. To continually strive to maintain the highest standards of care and to constantly seek methods of improvement for the treatment of the alcoholic.

Code: MS2C

HANDOUT 2g

Massachusetts Association of Halfway Houses for Alcoholics, Inc.

Room 603
755 Boylston Street
Boston, Mass. 02116
(617) 536-6983

MEMBERSHIP APPLICATION

APPLICATION for FULL or ASSOCIATE MEMBERSHIP

Date: _____

Name of Facility
or Organization _____

Address _____ Telephone _____

City _____ State _____ Zip _____

Name of Director or Delegate _____

SAMPLE

APPLICATION for INDIVIDUAL MEMBERSHIP

Name _____ Date _____

Address _____ Telephone _____

City _____ State _____ Zip _____

Occupation _____

If you have any additional information (brochures, pamphlets, programs, etc.) you feel would better help us understand the problems of your Halfway House or the problems in your community, please enclose it with this application.

THANK YOU FOR BECOMING A MEMBER

I have enclosed a check or money order in the amount of $____.00 to cover my annual dues in the Massachusetts Association of Halfway Houses for Alcoholics, Inc.

DUES SCHEDULE:

( ) FULL Membership: $1.00 per bed per year minimum – $25.00
maximum – $50.00

( ) ASSOCIATE Membership: $25.00 per year

( ) INDIVIDUAL Membership: $5.00 per year

HANDOUT 2g

Code: MS2C

Massachusetts Association of Halfway Houses for Alcoholics, Inc.

Room 603
755 Boylston Street
Boston, Mass. 02116
(617) 536-6983

OFFICIAL BALLOT

Election of Officers and Directors

Annual Meeting, September 18, 1973

This ballot should be mailed to the Association, P.O. Box 1444, Springfield, MA. 01101 and the envelope should be clearly marked, "BALLOT." It may also be returned in person at the Annual Meeting on September 18, 1973 at Crozier House, 30 Chrome Street, Worcester, Mass.

VOTE FOR ONE (1)

PRESIDENT

_____ ( )
_____ ( )

VICE PRESIDENT

_____ ( )
_____ ( )

SECRETARY

_____ ( )
_____ ( )

TREASURER

_____ ( )
_____ ( )

EXECUTIVE VICE PRESIDENT

_____ ( )
_____ ( )

DIRECTORS (Vote for three (3))

_____ ( ) _____ ( )
_____ ( ) _____ ( )

SAMPLE

Handout 1—Obstructive Behaviors

Many of these actions are attributable to needs which may or may not be recognized but have the ability to destroy the effectiveness of a group. These needs are usually expressed as "hidden agendas" or "ulterior motives." These needs can in themselves cause a person to join a group in order that they may be fulfilled.

1. **Blocking**—shutting off ideas or expression of feelings by others. A person may exhibit this behavior when he feels that others are incompetent or when he has a personal grudge against another member of the group.
2. **Recognition-seeking**—this behavior shows concern with status in the group, wanting to make a good impression.
3. **Dominating**—controls the group, inhibits the group by stifling free exchange of ideas. May feel that others are less competent than he, or may want to reap benefits of group decision.
4. **Avoiding**—refusing to take part in decisions, or going along with decisions which are made. Hasn't any essential input. Reasons for this may include having been blocked many times when offering opinions, having ideas ridiculed, shyness, or feeling his ideas are not worthwhile.

Handout 2—Group Process Observation Guide .

1. What group functions did you notice?
(check categories that apply, as often as you notice them)

Task Functions	Maintenance Functions
_____ Initiating	_____ Encouraging
_____ Information- or opinion-seeking	_____ Harmonizing
_____ Information- or opinion-giving	_____ Compromising
_____ Clarifying or elaborating	_____ Gatekeeping
_____ Summarizing	_____ Standard setting

2. What actions were present which obstructed group effectiveness?
(Check as many times as it is noticed.)

_____ Blocking

_____ Recognition-seeking

_____ Dominating

_____ Avoiding

3. What characteristics of effective groups did you notice?
(Check as many as apply to the group you observed.)

_____ Participation evenly divided

_____ Participation contributed to the work of the group

_____ Organization appropriate to the task

_____ Constructive atmosphere

_____ Open communication of ideas and feelings

_____ Decisions made by consensus on important points

_____ Intended results accomplished

Comments: _____

Code: MS2D

Handout 3—Prisoners' Dilemma Tally Sheet

Payoff Schedule

		Blue Team X	Blue Team Y
Red Team	A	+3 / +3	+6 / −6
	B	−6 / +6	−3 / −3

Round	Minutes	Choice Red	Choice Blue	Cumulative Points Red	Cumulative Points Blue
1	3				
2	3				
3	3				
4*	3-reps. 3-teams				
5	3				
6	3				
7	3				
8	3				
9**	3-reps. 5-teams				
10**	3-reps. 5-teams				

*Payoff points are doubled for this round.

**Payoff points are squared for this round.

Reprinted by permission from "Prisoners' Dilemma: An Intergroup Competition," J. William Pfeiffer and John E. Jones (eds.), *A Handbook of Structured Experiences for Human Relations Training*, Volume III (rev.). La Jolla, Ca.: University Associates, 1974, pp. 52-56.

Handout 2—Twelve Functions of Managing

1. Developing purposes and objectives

2. Setting frames of reference

3. Forecasting and planning

4. Arranging for financing

5. Organizing

6. Obtaining and developing personnel

7. Coordinating and informing

8. Guiding and leading

9. Surveying performance, auditing

10. Testing and evaluating

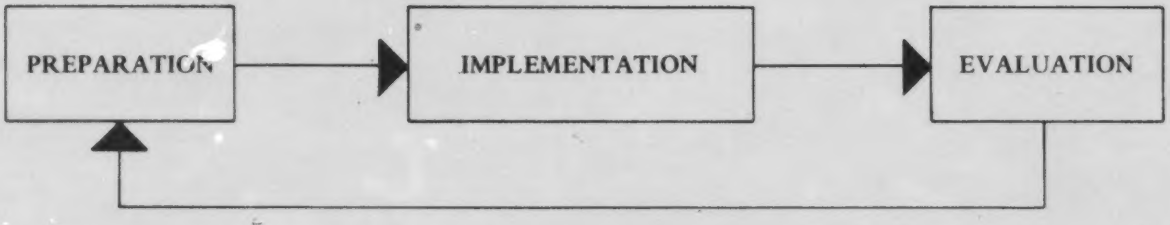
11. Adjusting and integrating

12. Ensuring proper external relationships.

Handout 3—Planning Process, Management Functions, Session Topics

PLANNING PROCESS	MANAGEMENT FUNCTIONS	SESSION TOPICS
Preparation		**Group Process**
1. Agreeing on goals	1. Developing purposes and objectives	Management and Change
2. Gathering information, forecasting	2. Setting frames of reference	The Planning Process
3. Involving others	3. Forecasting and planning	Director and Board Relationship
4. Setting objectives	4. Arranging financing	Funding Issues
5. Choosing alternatives	5. Organizing	Budget Preparation and Cost-Saving Procedures
6. Agreeing on responsibility for action	6. Obtaining and developing personnel	Cost Accounting and Recordkeeping
7. Preparing the plan	7. Coordinating and informing	Personnel Issues Job Description Evaluation
8. Plan approval	8. Guiding and leading	Information and Decisionmaking
Implementation	9. Surveying performance, auditing	Planning Project
Evaluation	10. Testing and evaluating	Associations
	11. Adjusting and integrating	
	12. Ensuring proper external relationships	

Reference 1—The Planning Process



Handout 1—The Planning Process*

A. Preparation

1. Agree on goals
   a. What are the goals or purposes of the organization?
   b. Do they mean the same to everyone?
   c. Can the goals be expressed in a way that everyone concerned understands and supports them?

2. Gathering information, forecasting
   a. What is the existing situation? Where are we now?
   b. What constraints must be considered? What resources are available?
   c. What are the underlying assumptions?
   d. What other information do we need to have?
   e. What conditions should be anticipated?

3. Involving others
   a. Who will be implementing the plan, affected by it, or can influence it? Who is responsible for its outcome?
   b. Does the person have all the necessary information?
   c. What is each person ready to do?
   d. How can he best be involved?

4. Diagnosing needs, setting objectives
   a. What is the problem?
   b. What are we trying to do?
   c. How will we know when we get there?
   d. Is it reasonable?
   e. Does everyone involved understand it?
   f. Is it acceptable?
   g. Is it consistent with organization goals?
   h. What effect will its achievement have?

5. Choosing alternatives
   a. What are all the possible ways that could be used?
   b. How do the alternatives compare in terms of the following?
      - Meeting the objectives
      - Being within constraints
      - Cost-effectiveness
      - Chances of success
      - The multiplier effect
      - Acceptability to those involved

6. Agreeing on responsibility for action
   a. Is it clear what the responsibilities are?
   b. Are the responsibilities within the capabilities of those concerned?
   c. Are the responsibilities willingly accepted?

7. Preparing the plan
   a. Is there a procedure for monitoring expenditure of resources?
   b. Is there a procedure for measuring progress?
   c. Is there a schedule for collecting evaluation information?

8. Plan approval
   a. Who must give approval?
   b. What procedure is required? Formal? Informal?

B. Implementation

C. Evaluation

*In the real world, other people with whom you work will be involved in this process.

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Code: MS4

Handout 2—Writing Specific Program Objectives

(A Self-Instructional Learning Package)

Adapted by Mary Broad
National Drug Abuse Training Center
Arlington, Va.

This self-instructional module is designed to help you learn how to write objectives that are clear and specific.

When you have completed this learning package, you will be able to do the following:

1. Distinguish a *goal* from an *objective.*
2. *Identify program objectives* that are specific, measurable, and time-phased.
3. *Write program objectives* that are specific, measurable and time-phased.

If you are confident that you already know how to write specific program objectives, please take this pretest. When you have finished, check your results with the trainer. If both your objectives are approved by the trainer, you will have met the objectives of the learning package.

Or, if you prefer, skip the pretest and turn immediately to the instructions on p. 59.

PRETEST

Here is a goal in the area of alcoholism prevention and treatment:

"The number of alcoholics will be reduced."

Write two specific program objectives which support this goal. Each objective must contain the three essential characteristics of well-stated program objectives. Check your objectives with the trainer.

INSTRUCTIONS

Complete each page before turning to the next page. Read the material and answer the question on each page; then turn the page and check your answer.

Now turn to p. 61 and begin.

What is the difference between goals and objectives?

A *goal* is a general statement of what we intend to do. Because goals are stated in general terms, they can be interpreted in many different ways.

An *objective* is much more specific than a goal. A well-stated objective leaves little doubt about exactly what will be done, how this will be measured, and when it will be accomplished.

Is the following statement a goal or an objective?

"Alcoholism will be reduced."

Answer: _____

If you said *goal*, you were right. The statement is too general to be a good objective.

If you said *objective*, take another look at the statement. Does it tell you how alcoholism will be measured, or how much it will be reduced, or by what date?

Is the following statement a goal or an objective?

"The incidence of arrests for driving while intoxicated in Center City will be reduced by 10 percent within 1 year."

Answer: _____

If you said *objective*, you were right. The statement clearly specified what the result would be (incidence of arrests for driving while intoxicated in Center City will be reduced), how this will be measured (reduced by 10 percent) and when (within 1 year).

In the space below, write the difference between a goal and an objective. To check your answer, turn to page 61.

List below the three essential characteristics of a useful objective

1.

2.

3.

Go back to p. 61 if you need help in listing all three characteristics.

Now go to the next page.

The three essential characteristics of a useful objective are the following:

1. States *specifically* the result to be accomplished
2. In *measurable terms*
3. And identifies *when* the result will happen.

Let's concentrate on the first two characteristics of a good objective:

1. *States specifically the result* to be accomplished
2. In *measurable terms*

For each of the following statements, put an X in the box beside each statement that has these two characteristics: *Specific statement of result* to be accomplished, in *measurable terms.*

1. ( ) Establish alcoholism referral systems in the five largest police departments in this State.
2. ( ) Provide alcohol abuse prevention training to school teachers.
3. ( ) Add one psychologist to the center's clinical staff as a half-time consultant.
4. ( ) Reduce alcoholism to a level acceptable to the public.
5. ( ) Conduct a campaign to increase public awareness of alcohol related problems.
6. ( ) Increase by two the number of community groups voluntarily contributing goods or services to the halfway house on a regular basis.
7. ( ) Establish a staff benefit plan that is acceptable to both board and staff.
8. ( ) Explore formation of a State halfway-house association.
9. ( ) Assign additional counselors where needed.
10. ( ) Reduce the unemployment rate for the residents of the halfway house by 50 percent.

You should have placed an X before statements 1, 3, 6, 7, and 10.

Take another look at any you missed. Do those statements tell you specifically what the expected result is and how it is to be measured?

The third characteristic of a useful objective is the *timeframe*; that is, we are told exactly when the result will happen, or by what date it will be completely accomplished.

Which of the following statements specify a clear timeframe?

1. As soon as possible.
2. By the last day of each month.
3. Immediately.
4. When feasible.
5. By July 1, 1973.

Answer: _____

Numbers 2 and 5 specifically state by what time, or date, we could expect a result to happen. The other statements don't tell us how soon is possible, or when is immediately (today? this week?), or how soon "feasible" is.

Useful objectives must specify when a result will happen by stating a date or giving a number of days, months, or years.

List again the three characteristics of a useful objective.

1.

2.

3.

If you are not sure, check your answers on p. 68.

Now try to find each of the three characteristics in the objective below.

Objective:

> Provide 80 hours of inservice training annually to all clinical staff members within 5 years.

1. Underline the parts of this objective that state the intended result.

2. Place a square around the parts that are measurable.

3. Circle the time frame.

Your answer should look like this.

Provide [80 hours] of inservice training

[annually] to [all] clinical staff members

(within 5 years.)

Now do the same with the following objectives.

1. Underline the specific result intended.
2. Put a [square] around the measurable parts.
3. (Circle) the timeframe.

1. Provide medical and psychological screening facilities for all applicants for treatment in this program within 2 years.
2. Establish a statistical recordkeeping system that is consistent with State association standards by the beginning of the next budget year.
3. Provide 30 hours of training each to 350 shop foremen in identifying and counseling potential and actual alcoholics by September 30, 1974.

The answers are:

1. Provide medical and psychological screening facilities for all applicants for treatment in this program within 2 years.
2. Establish a statistical recordkeeping system that is consistent with State association standards by the beginning of the next budget year.
3. Provide 30 hours of training each to 350 shop foremen in identifying and counseling potential and actual alcoholics by September 30, 1974.

Write two specific program objectives which you consider important for your alcoholism program.

Your trainer will give you instructions for checking the specificity and usefulness of your objectives.

Code: MS4

Handout 3a—Planning Worksheet Labels

Involving Others	Is it clear what those involved are responsible for?	How will we know when the objective has been accomplished?
Agreeing on Goals	Who needs to participate in developing this plan?	Are those responsibilities accepted?
Plan Approval	What do we know or need to know about the existing situation?	Does it include evaluation procedures?
Choosing Alternatives	Does it include a mechanism for auditing progress?	What special procedures are required?
Diagnosing Needs, Setting Objectives	What is the purpose of the organization?	What are the associated implications of each approach?
Preparing the Plan	To whom must the completed plan be submitted?	Does everyone understand and agree on the purpose?
Gathering Information, Forecasting	What is it we are trying to do?	What is the best way for them to contribute?
Agreeing on Responsibility for Action	Is the approach consistent with the organization goals?	What changes might be anticipated?

(To be typed on gummed labels for easy removal and attachment to following blank page.)

Handout 3b—Planning Worksheet Blank

Steps in Preparation Stage	Two Appropriate Questions for Each Step	
One		
Two		
Three		
Four		
Five		
Six		
Seven		
Eight		

Code: MS4

Handout 3c—Planning Worksheet Answer Key

Steps in Preparation Stage	Two Appropriate Questions for Each Step	
Agreeing on Goals	What is the purpose of the organization?	Does everyone understand and agree on the purpose?
Gathering Information, Forecasting	What do we know or need to know about the existing situation?	What changes might be anticipated?
Involving Others	Who needs to participate in developing this plan?	What is the best way for them to contribute?
Diagnosing Needs, Setting Objectives	What is it we are trying to do?	How will we know when the objective has been accomplished?
Choosing Alternatives	Is the approach consistent with the organization goals?	What are the associated implications of each approach?
Agreeing on Responsibility for Action	Is it clear what those involved are responsible for?	Are those responsibilities accepted?
Preparing the Plan	Does it include a mechanism for auditing progress?	Does it include evaluation procedures?
Plan Approval	To whom must the completed plan be submitted?	What special procedures are required?

Handout 1—Director and Board Guidelines

1. State laws on organization of nonprofit corporations vary.
   a. Variances can be obtained within States.
   b. State's attorney's office will render a decision on ambiguous or disputed points without charge.
2. History of a halfway house and personalities involved will greatly affect a particular situation.
3. If a halfway house is one component of a comprehensive alcoholism program, it should have a separate board of directors (e.g., mental health boards are too medically oriented).
4. Model bylaws appear in AHHAP guidelines.
5. Generally, the following recommendations are made:
   a. Term of office average 2 to 3 years
   b. An automatic termination clause be written into bylaws
   c. Board members be encouraged to attend national meetings such as AHHAP whenever possible
   d. A five- to seven-person executive board is best working size; maintain an advisory board for public relations purposes (prominent citizens, senator, or congressman) whose members are kept informed monthly by mail.
6. The ideal executive board is composed of the following:
   a. Banker
   b. Lawyer
   c. Legislator (State or city)
   d. Physician (internal medicine, not psychiatry)
   e. Recovered alcoholic
   f. Accountant, businessman, or public relations/media.
7. No one from State alcoholism program should be on executive board because of possible conflict of interest; may be on advisory board.
8. Director may or may not be a member.
   a. He is responsible for implementing policy.
   b. Familiar with day-to-day operation of house, problems, impact of policy changes.
9. Strategies for reducing executive board problems include the following:
   a. Move troublesome member to advisory board
   b. Change bylaws
   c. Identify member who exerts influence with the others; acquaint him with house situation in depth on an individual basis
   d. Time.

Code: MS5

Handout 2—Case Study: Pathway Residence

Pathway was founded in 1970 as a nonprofit halfway-house program by a community group under the leadership of the Blairville Council of Churches. A fund drive raised money to furnish an 18-room house donated anonymously by a wealthy church member.

Program Goals

Pathway was founded "to aid and assist alcoholic men who manifest a desire for rehabilitation" and "to provide food, shelter, and counseling in order to assist the alcoholic person in his recovery."

Program Description

Pathway accommodates 24 people and averages 20 at any one time. The residents range in age from 21 to 72. The average age is 47. All residents are referred from either legal or medical sources. Most of the residents are from the lower income level and qualify for semiskilled or unskilled jobs. Residents pay $30 per week when they are employed, and the average length of stay is 9 months.

The program includes group therapy, A.A., Bible study, and individual counseling (including vocational and pastoral). For other needs, residents are referred to cooperating agencies.

Staff

The four full-time staff members include the director, resident manager, cook, and assistant cook. Five volunteers provide clerical help 10 hours a week, pastoral counseling, and Bible study; and a psychologist from the nearby hospital holds a group meeting one evening a week.

Board of Directors

Pathway has a nonvoting advisory board which includes a State legislator, a congressman, and the quarterback of a professional football team. Throughout the year, policy decisions are made by the 15-man board of directors. The executive board of six includes the officers of the board (president, vice president, secretary, treasurer), the house director, and the personnel committee chairman. The other officers, except the president, also chair committees.

Budget

Pathway House operates almost entirely on the income from resident fees. Actual income last year totaled $25,386.11. Donations amounted to $250.

Handout 3—Board and Director Problem Sheet

Participants

a. Reverend Marvin Turner—president, director of Blairville Council of Churches

b. Louis Haber—vice president, lawyer and lay-leader of Blairville Methodist Church

c. John J. O'Hara, S.J.—secretary, associate pastor of St. Ignatius Church

d. Roberta Stevens—treasurer, vice president of Blairville Savings & Trust

e. Geraldine Stone—chairman, personnel committee; director of Christian education at the Blairville Presbyterian Church

f. Jack Simon—board member, director of Pathway residence

Problem

A special meeting of the executive board has been called to consider the matter of locating supplemental funds to pay for building repair and renovation. A recent building inspection uncovered these violations: leaking roof, peeling plaster in 13 rooms, inadequate wiring throughout, substandard bathroom fixtures, and a faulty heating unit. One estimate already received for these repairs is $16,680.

The purpose of the meeting is to develop a plan to obtain the funds, which will be submitted to the full Board for approval. Reverend Turner, board president, is chairing the meeting.

Adapted and reprinted by permission from "Committee Meeting: Demonstrating Hidden Agendas," J. William Pfeiffer and John E. Jones (eds.), *A Handbook of Structured Experiences for Human Relations Training*, Volume I (rev.). La Jolla, California: University Associates, 1974, pp. 36-44.

Code: MS5

Handout 5—Guide for Role Player Observers

1. You will observe _____ , who is playing the role of _____ .

2. Be sure you are seated where you can see this person clearly.

3. In your observation, look for answers to the following questions:

   a. Was his participation general, specific, or lopsided?

   b. What effect did his participation have on the group?

   c. Did his contributions indicate that he was listening to others in the group?

d. Were his contributions centered on solving the group's problems or were they directed by personal needs, aspirations, attitudes, and values?

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Code: MS5

Handout 6—Group Process Observation Guide

1. What group functions did you notice?
(Check categories that apply, as often as you notice them.)

Task Functions	Maintenance Functions
_____ Initiating	_____ Encouraging
_____ Information- or opinion-seeking	_____ Harmonizing
_____ Information- or opinion-giving	_____ Compromising
_____ Clarifying or elaborating	_____ Gatekeeping
_____ Summarizing	_____ Standard-setting

2. What actions were present which obstructed group effectiveness?
(Check as many times as it is noticed.)

_____ Blocking

_____ Recognition-seeking

_____ Dominating

_____ Avoiding

3. What characteristics of effective groups did you notice? (Check as many as apply to the group you observed.)

_____ Participation evenly divided

_____ Participation contributed to the work of the group

_____ Organization appropriate to the task

_____ Constructive atmosphere

_____ Open communication of ideas and feelings

_____ Decisions made by consensus on important points

_____ Intended results accomplished

Comments: _____

_____

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Code: MS5

Handout 7—Hidden Agendas Information Sheet

Introduction

The purpose of this skill was to demonstrate that "what went on underneath the table" interfered in a rather dramatic fashion with what was going on above. In other words, the participants' needs, which influence their aspirations, attitudes, and values, affect the way they react to the surface task.

What To Do About Hidden Agendas

1. Remember that the group is continuously working on two levels at once: the surface level and the hidden-agenda level. Consequently, the group may not move as fast on the surface as the participants might expect.
2. Look for the hidden agendas that are present. Recognition is a first step in a diagnosis of group difficulty.
3. Sometimes a participant can make it easier for a group to bring its hidden agendas to the surface. The participant may say, for example, "I wonder if we have said all that we feel about the issue. Maybe we should take time to go around the table so that any further thoughts can be opened up."
4. Some hidden agendas can be presented and talked about and should then become easier to handle. But many hidden agendas would hurt the group more if they were talked about openly. Group participants need to be sensitive to the possible dangers and should try to recognize what a group can and cannot face at a given point.
5. Do not scold or pressure the group when hidden agendas are recognized. They are present and legitimate and must be worked on in much the same manner as the surface task. At different times, hidden agendas should be given different amounts of attention, depending upon their influence on the surface task and the nature of the group and its participants.
6. Help the group find methods of solving hidden agendas as they would handle surface agendas. Although the techniques may vary, problem-solving methods are needed for handling hidden agendas.
7. Spend some time evaluating progress in the group's handling of hidden agendas. Each experience should indicate better ways of handling agendas more openly. As groups mature, hidden agendas are reduced. Evaluation sessions in the last 15 minutes of a meeting can profit a group immensely.

In our discussion of the previous exercise, we have seen that an individual's behavior in a group situation is neither random nor accidental. People behave according to personal motivation—what we might call needs. Those needs may be social or emotional. They may be explicit in the group or hidden as in the skill exercise. They may be known to the individual or unknown to him.

If a person's behavior is not random or haphazard but is, rather, need-determined, then the very act of joining a group must be the expression of personal needs.

We all have needs. They can take different forms and can be satisfied in different ways. According to Abraham Maslow, the sum total of an individual's needs are arranged in a hierarchy, with physical needs and the need for security at the base of the order. Physical needs (e.g., food, shelter, warmth) are those which must be satisfied in order to maintain life. Needs for security must be fulfilled if the organism is to function within its environment. For example, if the individual is not to be overwhelmed by feelings of anxiety, there must be a degree of stability and consistency within the environment.

When the basic survival needs are met and when there is contact with society, other needs may press for satisfaction. These are the social, ego, and self-fulfillment needs, which can be optimally satisfied in a group situation. Social needs become evident as individuals seek acceptance from others. With the fulfillment of social needs,

ego needs press for satisfaction. And it is only as the individual finds answers to the mystery of his own unique identity that he can then begin to be all that he is capable of being.

Group participation, then, is motivated primarily by certain needs for which individuals seek fulfillment, expression, and satisfaction. People join groups, therefore, in search of something--something personal and important for their own senses of well-being and comfort. While individuals share certain common human needs, the fulfillment of these needs is sought in unique ways. The individual's needs for feelings of belonging, acceptance, recognition, self-worth, self-expression, and productivity are evident among those needs that motivate desires for group life.

While individuals become group participants because they have certain needs for which they seek either expression or fulfillment, and while these needs are personal and subjective, they are not necessarily "selfish." It is both "normal" and "natural" for the individual to bring to the group desires for the satisfaction of personal needs. What we are concerned with is not whether these needs should be satisfied, but rather with the consequences of their expression for others and for the group as a whole. What we want to question is whether the fulfillment of one individual's need blocks other individuals and the group from achieving their goals. If this is, in fact, found to be the case, we will then want to help the individual to express his needs in ways which are helpful for and congruent with the needs of the other group participants and with the goals of the group.

Code: MS6B

Handout 1—Explanation of Halfway-House Assessment Worksheet

The attached form is designed to help you analyze your program and identify areas for improvement. It reflects the standards for model programs suggested by the Association of Halfway House Alcoholism Programs of North America, the Joint Commission on Accreditation of Hospitals, and recognized leaders in halfway-house administration.

Each page of the form has three columns. The firs column lists the elements of a model program, organized into 14 categories. The second column contains space for you to indicate the degree to which the model element appears in your program: not at all (0), as described (4), or somewhere in between (1, 2, 3). Indicate the degree of match by placing a check in the appropriate column. If a particular element is not applicable to the program being assessed, write NA in the "0" column. The third column is provided for any notes you wish to make about the exact nature of the discrepancy between your program and the model for a particular element.

You may analyze a completed worksheet any one of several ways to identify program areas that need improvement.

1. Visual inspection—if the majority of checks within a category appear in columns headed 0, 1, or 2, that area of your program may need some attention.
2. Category rating—Within each category, add the number of checks in each column. Next multiply the number of checks per column by the figure at the head of the appropriate column.

For example:

column heading		no. of checks		
0	x	1	=	0
1	x	2	=	2
2	x	5	=	10
3	x	3	=	9
4	x	0	=	9
		11	=	21

Then divide the total score (21) by the total number of checks (11) to get a rating for that category:

$$11\overline{)21.00}\quad 1.9$$

A comparison of ratings will show which program areas should be given priority. You may decide that any category with rankings of 2 or less will receive attention first.

You can use the Halfway House Assessment Worksheet as an informal measure of program development. Comparison of ratings from year to year will show which areas have improved and indicate which areas still need work. When the worksheet is used to measure changes, it should be completed by someone other than the director to eliminate the influence of wishful thinking on the placement of the check marks.

Halfway-House Assessment Worksheet

Model Program Element	Degree of Match (none) 0	1	2	3	(complete) 4	Specific Needs
General Characteristics						
Program fits one or more of the accepted definitions for halfway-house alcoholism programs: • An intermediate care component designed to facilitate the continuing recovery of the alcoholic in a structured therapeutic environment which provides or makes available counseling, vocational rehabilitation, and/or work therapy in a supportive, full or partial residential setting • Community-based, peer-group-oriented, residential facility. Provides food, shelter, services in supportive, nondrinking environment to able-bodied, mentally competent, recovering alcoholics.						
Service Type (primarily from Halfway House Standards, p. 71) Supportive recovery Long-term residency Cooperative living (For specific elements of service types, see pp. 69-70 in Status Reports: Standards for Halfway House Alcoholism Programs, January, 1974.)						
All policies, procedures, personnel, and characteristics are in compliance with appropriate local, State, and Federal laws and regulations.						

Halfway-House Assessment Worksheet (cont'd)

Model Program Element	Degree of Match (none) 0	1	2	3	(complete) 4	Specific Needs
Documentation						
The following are available in written form:						
1. Philosophy of halfway-house services and their delivery, including a rationale for the therapeutic methods employed and a description of the role of the facility as it supports treatment						
2. Objectives of halfway-house services that are consistent with the philosophy and a description of the indicators that will be used to measure attainment of objectives.						
3. Provision for services not provided by the halfway house but needed by the resident (e.g., medicine and dental care)						
4. The relationship between the halfway house and its staff to other agencies that provide service						
5. Specification of the lines of authority						
6. Definition of staff roles and responsibilities						
7. Methods of personnel utilization						
8. Source of authority:						
a. For public organization—administrative framework of government agency						
b. For private—charter, constitution and bylaws, State license, if required						
c. Policies governing election or appointment of officers, appointment of committees, attendance, schedule of meeting, etc.						

Halfway-House Assessment Worksheet (cont'd)

Model Program Element	Degree of Match (none) 0	1	2	3	(complete) 4	Specific Needs
9. Policy manual, which includes the following:						
a. Regulations, guidelines, and principles for program operation						
b. Policies and procedures governing control of inventories, purchasing, product selection and evaluation, supply storage and distribution, control of accounts receivable, handling cash, credit arrangements, discounts, etc.						
c. Emergency procedures in the event of fire or natural disaster						
10. Personnel policies and procedures						
11. Plan for obtaining funds, which includes expected funds for current year and estimated funds for 2 additional years						
12. Fee schedule						
13. Admission criteria						
14. House rules						
15. Job descriptions for all positions, including qualification, reporting supervisor, positions supervised, duties						
16. Resident record, which includes the following:						
a. Diagnosis of physical and social/psychological needs at time of admission						
b. Treatment plan						
c. Assessment of progress						
d. Discharge summary						
17. Agreement between halfway house and each service provider						
18. Resident followup plan (aftercare), including the following:						
a. Organization, philosophy, objectives						
b. Individualized plans for maintaining contact						
c. Staff training						
d. Evaluation of service						
e. Funding						

Halfway-House Assessment Worksheet (cont'd)

Model Program Element	Degree of Match (none) 0	1	2	3	(complete) 4	Specific Needs
Fiscal Management						
1. Program budget of expected revenues and expenses						
a. Revenues categorized by source						
b. Expenditures categorized by types of services						
2. Rebudgeting for changing program needs, which can be done with approval of governing authority						
3. Cost accounting procedure to monitor current status, showing both direct and indirect costs						
4. Reporting system						
a. Monthly income and expense statements						
b. Monthly cash and bank statements						
c. Calculation of cost per unit of service, cost per diem, cost per resident stay, and total program						
5. Annual independent audit approved by governing authority						
6. Insurance covering the following:						
a. Physical and financial resources						
b. Building and equipment						
c. Liability insurance covering governing authority and staff						
7. Routine records to show compliance with fiscal policies and procedures listed under Documentation, 9b						

Halfway-House Assessment Worksheet (cont'd)

Model Program Element	Degree of Match (none) 0	1	2	3	(complete) 4	Specific Needs
Personnel						
1. Written policies and procedures approved by governing authority include the following: a. Methods for supervision b. Evaluation procedures (annually, at least) c. Suspension and dismissal d. Neglect and abuse of residents e. Protection of residents engaged in training or work within the program						
2. Staff development plan approved by governing authority includes the following: a. Orientation program b. Inservice training c. Professional reference material d. Outside continuing education e. Volunteer training f. OJT for trainees in formal alcohol training programs						
3. The decision to admit a resident rests with the staff, based on guidelines established by the governing authority.						
4. At least one responsible staff member in the house 24 hours a day.						
5. Role of volunteers clearly defined and communicated to residents, staff, and volunteers.						

Halfway-House Assessment Worksheet (cont'd)

Model Program Element	Degree of Match (none) 0	1	2	3	(complete) 4	Specific Needs
Referrals						
1. Specified procedures should include the following: a. Conditions under which referrals are made b. Mechanism to insure continuity of care, including background information related to referral, treatment-related resident data, means for coordination and for returning resident to referring component with follow-up report c. Resident initiated requests d. Referral of nonresidents.						
2. There should be a log of all referrals initiated and received.						
3. Halfway-house staff provides advocacy for a resident who is being denied fair and equal services and treatment.						
4. Data accompanying resident referred from an outside agency reflects status at time of referral.						

Halfway-House Assessment Worksheet (cont'd)

Model Program Element	Degree of Match (none) 0	1	2	3	(complete) 4	Specific Needs
Statistical Records						
1. Number of admissions per month (new and readmissions)						
2. Number of residents leaving per month and reason for leaving						
3. Length of stay						
4. Number and types of referral						
Planning						
1. Needs assessment includes the following:						
a. Characteristics of target population, including prevalence of alcohol abuse and alcoholism						
b. Resources available (financial, staff, services)						
c. Survey of public attitudes toward drinking behavior.						
2. Program goals and objectives reflect findings of needs assessment.						
3. Allocation of program resources is consistent with goals and objectives.						
4. Program plans are consistent with local, State, regional, and Federal comprehensive plans.						
5. Provides for community participation.						

Halfway-House Assessment Worksheet (cont'd)

Model Program Element	Degree of Match (none) 0	1	2	3	(complete) 4	Specific Needs
Evaluation						
Evaluation plan, consistent with goals and objectives, includes provision for the following: a. Assessing attainment of goals and objectives b. Documenting achievements not reflected in goals and objectives c. Assessing utilization of staff and program resources.						
Resident Records						
1. Procedures to insure confidentiality. 2. Discharge summary includes resident's self-evaluation. 3. Family evaluation, if appropriate. 4. Nature of resident's participation in treatment plan is contained in record.						
Resident Rights						
1. Privacy respected in matters relating to personal belongings, visitors, phone calls, etc. 2. Informed of legal and human rights. 3. Provision made for resident participation in development and renewal of treatment plan and in decisions affecting operation of house.						

Halfway-House Assessment Worksheet (cont'd)

Model Program Element	Degree of Match (none) 0	1	2	3	(complete) 4	Specific Needs
Environment						
1. Accommodations and related policies and procedures are designed to enhance pos'tive self-image and to preserve human dignity, for example: a. Residents wear their own clothing b. Personal touches are encouraged to decorate resident's room c. Privacy is possible for personal hygiene and sleeping d. Facility is clean, free of undesirable odors, attractive, comfortable e. Laundry facilities for resident's use f. Closet and storage space (lockable) for personal property g. People knock and await permission to enter a room when door is closed h. Common areas appropriate for full range of social activities as well as solitude i. Staff areas open j. Dining room accommodates all residents at one sitting k. Residents have a role in maintaining their own living quarters.						

Halfway House Assessment Worksheet (cont'd)

Model Program Element	Degree of Match (none) 0	1	2	3	(complete) 4	Specific Needs
2. Arrangements promote residents' awareness and perception of surroundings:						
a. Sufficient interior lighting to see facial features clearly						
b. Windows in all common and sleeping rooms						
c. Calendars and clocks provided in major use areas						
d. Easy access to outdoors						
e. Television, radios, phonographs, etc., do not interfere with therapeutic program.						
3. Outside communication facilitated.						
a. Residents may make and receive telephone calls in private.						
b. Residents may converse privately with visitors.						
c. Residents are encouraged to develop and/or maintain social, recreational, civic, and vocational ties.						
d. Space is provided to meet with outside community service providers (A.A., Al-Anon, Voc. Rehab., etc.).						
4. Maintained and equipped to insure health and safety of occupants.						
5. Planned program includes provision for the following:						
a. Leisure time						
b. Physical exercise						
c. Recreational activities normal to resident						
d. Voluntary participation in social events						
e. Performance of civic duties						
f. Assessment of employment needs and opportunities.						

Halfway-House Assessment Worksheet (cont'd)

Model Program Element	Degree of Match (none) 0	1	2	3	(complete) 4	Specific Needs
Review and Revision Schedule*						
1. Annually						
a. Organization plan, treatment philosophy, and program objectives						
b. Personnel policies and procedures						
c. Funding plan						
d. Budget						
e. Staff development plan						
f. Evaluation plan						
g. Policies and procedures of governing authority						
h. Program policies						
i. Referral policies and procedures						
j. Job descriptions						
k. Protection of clients working within program						
l. Procedure for handling neglect and abuse of residents						
2. Review of treatment plan (weekly)						
3. Review of resident records (quarterly)						
4. Review of needs assessment (biennial)						

*Approval by director, governing authority, and staff representatives must be documented.

Halfway-House Assessment Worksheet (cont'd)

Model Program Element	Degree of Match (none) 0	1	2	3	(complete) 4	Specific Needs
Participation* in Development of Policies and Procedures						
1. Resident—treatment plan						
2. Staff—personnel policies and procedures, staff development plan, annual budget						
3. Community—planning process, program policies.						
Availability of Written Documents						
1. To all staff and others on request:						
a. Organization plan, treatment philosophy, program objectives						
b. Procedures for handling neglect and abuse of residents						
c. Policies and procedures of governing authority						
d. Policies and procedures manual.						
2. To all staff:						
a. Staff development plan						
b. Evaluation plan and results						
3. To all residents and staff:						
a. Admission criteria						
b. Fee schedule						
c. House rules.						

*Responsibility of director and governing authority

Handout 2—Guidelines for Individual Program Projects

1. Use the (Halfway House) Assessment Worksheet to help identify an area in the management of your program that would benefit from change or improvement.
2. Check your choice with the trainers to avoid too big a project.
3. Develop a plan for making that change and record the plan in legible form. You may use the same numbering system that appears in handout 3 from session 3, The Planning Process.
4. Use all resources available to assist you in the development of your plan: notes and handouts, other participants, trainers, materials you have brought with you.
5. Time has been set aside during one afternoon for you to work on your plan in addition to the evening hours.
6. Groups will meet the following morning to review group members' plans and select one plan for presentation to the total group. Each group will be represented by one plan.
7. All plans will be handed in for comment and feedback by trainers.

Code: MS6B

Handout 3—Study Guide for Organizing the Enterprise

1. A number of ways to divide the work of an organization are listed on pp. 7 and 8. Which one do you think is most appropriate to a halfway house? Explain your choice.

2. How is a manager defined in this article (p. 11)? What is your reaction to this definition?

3. How does the organizational pattern of your program help? How does it hinder you?

4. Halfway houses by definition are small both in resident population and size of staff. In response to demand for services, however, many halfway houses have added or are considering the addition of one or more units. What are the implications of this growth for the organization of the enterprise?

Code: MS7

Handout 2—Funding Sources

I. General Comments

- A. Not likely that money will be offered; you must go out and find it.
- B. Who you know is as important as what you know.
  1. On the Federal level, identify chairmen of various legislative committees and go through their administrative assistants.
  2. Do same on State level.
  3. County commissioners influence local expenditures.
  4. Find out who belongs to advisory committees of foundations.
- C. Use legal assistance to interpret laws.
- D. General picture is optimistic (as of May 1974).
  1. Over past 3 years, funds have tripled—more than 200 million allocated to alcohol projects this past year.
  2. NIAAA will probably be cut back.
  3. In LEAA, request for support of drug projects has fallen off; may be more interested in alcohol.
- E. Long-range planning is a must.
- F. Need evaluation data to impress funding sources.
- G. The better managed an operation, the more favorable will be the reaction of a funding agency.
- H. Generally, funding sources do not underwrite ongoing services.
- I. Need to gather complete and accurate information about the agency you are petitioning.
- J. To keep abreast of federal funding availability subscribe to: The Alcoholism Report.

II. Grant-in-Aid Funds

- A. Federal agencies (for alcoholism programs; halfway houses not eligible in all cases).
  1. Department of Health, Education, and Welfare
     a. NIAA (apply to HEW regional office)
     b. Rehabilitation services (apply to State department of vocational rehabilitation)
  2. Department of Transportation (apply to equivalent State agency)
  3. Department of Justice (apply to equivalent State agency).
- D. Foundations.
- E. State, county, and city governments
  1. General revenues
  2. Federal funds provided under General Revenue Sharing (State and Local Assistance Act of 1972).
- F. United Funds
  1. Total available: $800 million
  2. $1.2 million directly to alcoholism programs
  3. Generally democratic in their allocations: something for everybody.

III. Third-Party Payments

- A. Federal government, Social Security Act (SSA) (exhibit A)
  1. Medicaid (Title XIX)
  2. Medicare (Title XVIII)
  3. Social services (titles IVA and XVI).

B. Federal employee benefits
   1. Veterans Administration (if no VA hospital in area)
   2. CHAMPUS (Alcoholism Program for Dependents of Military Personnel)
   3. Other Federal employee insurance programs.

C. Private insurance carriers
   1. Blue Cross and Blue Shield
   2. Others (Aetna, Travelers, etc.)
      a. 200 companies have benefits for alcoholism
      b. New York and Massachusetts have legislation pending to make this coverage mandatory.

D. State, county, and city governments
   1. Social service offices
   2. Liquor tax revenues.

Handout 3—Funding Sources Exhibits

EXHIBIT	TITLE
A	Federal Sources of Third-Party Funds for Alcoholism Treatment
B	Foundation Grants for the Support of Alcohol Programs, January 1973 through April 1974
C	The Foundation Center
D	What Makes a Good Proposal?
E	What Will a Foundation Look for When You Submit a Grant Proposal?
F	Guidelines for Getting a Grant
G	Sample Letter to a Foundation from a Successful Applicant for Financing

Exhibit A—Federal Sources of Third-Party Payment Funds for Alcoholism Treatment

Fund Source	Eligibility	Treatment Services Covered	Access Route	Qualifications	Organization & Mechanism
1. **Medicaid** Title XIX	Certain kinds of needy and low income people: • The aged (65 or older) • The blind • The disabled • Members of families with dependent children • Some other children	Detoxification, inpatient care, counseling by psychiatrist	Through welfare department office	1. Services must be included in State plan 2. Facility must be "recognized" by State 3. Facility must be under supervision of physician	– A Federal-State partnership – States design their own programs – Federal government contributes from 50-80% of cost – Paid medical bills for 20 million people last year
2. **Medicare** Title XVIII	Almost everybody 65 or older; also the blind and disabled	Detoxification, inpatient care, 50% of outpatient care up to $250 per calendar year maximum	Through social security office	1. Facility must be "accredited" 2. Services must be physicians services, or incidental thereto	– A Federal program funded by individuals' payments – The same nationwide – Paid medical bills for 10 million people last year
3. **Social Services** Title IV A	Members of families with dependent children	Potentially full spectrum from outreach through inpatient care and subsequent group therapy and counseling	Through welfare department office	1. Services must be included in State plan 2. Contractual agreement must exist between provider and State	– A Federal-State partnership – States design their own programs – Federal Government contributes 75% of cost

Fund Source	Eligibility	Treatment Services Covered	Access Route	Organization & Mechanism
Title XVI	Disabled, including those whose disability is caused by alcoholism	Potentially full spectrum from outreach through inpatient care and subsequent group therapy and counseling	Through welfare department office	3. State must monitor provider's performance

Exhibit B—Foundation Grants for the Support of Alcohol Programs, January 1973 through April 1974

$ 18,000	to Cenikor Foundation, Lakewood, Colo., 1972. For self-help program for alcoholics, drug addicts, exconvicts. BOETTCHER FOUNDATION.
18,000	to the Drug and Alcohol Council of Montgomery County, Norristown, Penn., 9/11/73. Toward the cost of a Criminal Justice Workshop re drug and alcohol offenders. HAAS COMMUNITY FUND.
5,000	to the Community Services Council of Kauai, Kauai, Hawaii, 1972. For a rehabilitative facility for alcoholics. WILCOX (G.N.) TRUST.
7,500	to Sobriety House, Denver, Colo., 1972. Toward the operation of a home for exalcoholics. BOETTCHER FOUNDATION.
10,000	to the Bowery Residents Committee, New York, N.Y., 6/14/73 for general budget. VAN AMERIGEN FOUNDATION.
5,000	to the Chicago Metropolitan Council on Alcoholism, Chicago, Ill., 1973 CHICAGO COMMUNITY TRUST.
20,000	to the National Council on Alcoholism, Greater Cleveland Area, Cleveland, Ohio, 8/30/73. To establish an affiliate council. CLEVELAND FOUNDATION.
5,000	to Case Western Reserve University, School of Medicine, Cleveland, Ohio, 8/30/73. For research on alcohol hepatotoxicity. CLEVELAND FOUNDATION.
10,000	to Kalamazoo County Substance Abuse Board, Kalamazoo, Mich., 12/73. Continuation of current program. KALAMAZOO FOUNDATION.
5,000	to Greene Valley Farms, Waynesburg, Penn., 10/31/73. To eliminate mortgage balance, purchase equipment, and support program. HILLMAN FOUNDATION.
9,840	to Henry Ohlhoff House, San Francisco, Calif., 11/28/73. To provide for a continuing program for alumni of alcoholic rehabilitation center and for their spouses and families. SAN FRANCISCO FOUNDATION.
5,775	to the Matt Talbot Home, Indianapolis, Ind., 1973. For improvements to home for alcoholics. INDIANAPOLIS FOUNDATION.
10,000	to Cornelia Cole Fairbanks Hospital, Indianapolis, Ind., 1973. For construction of facility to expand program for treatment of alcoholics. INDIANAPOLIS FOUNDATION.
42,052	to the National Council on Alcoholism, Greater Flint Area, Flint, Mich., 1972. For operating expenses. DE WATERS CHARITABLE TRUST.
33,400	to the Kalamazoo Alcohol and Addiction Council, Kalamazoo, Mich., 12/73. For continuation of Court and Law Enforcement Substance Abuse Services Project and Prevention. KALAMAZOO FOUNDATION.
45,000	to the Texas Alcohol and Narcotics Education, Dallas, Tex., 11/27/73. To assist in the purchase and remodeling of expanded facilities. MOODY FOUNDATION.

$ 36,400 to Roosevelt Hospital, New York, N.Y., 11/2/73. For research into development and recovery from alcoholism by followup interviews with recovered alcoholic physicians, dentists, and nurses, and interviews with comparable population of attorneys and social workers.
EDUCATIONAL FOUNDATION OF AMERICA.

10,000 to Step Thirteen Evolution Process, Denver, Colo., 1971. For rent and general operation of alcoholic rehabilitation program.
BOETTCHER FOUNDATION.

12,000 to Wazee Center, Denver, Colo., 1971. For a new facility for skidrow alcoholic rehabilitation.
BOETTCHER FOUNDATION.

25,000 to the Salvation Army, San Francisco, Calif. For renovations to alcoholic rehabilitation facility.
IRVINE (JAMES) FOUNDATION.

100,000 to Rochester Methodist Hospital, Rochester, Minn., 9/72. Toward renovation of space for an Alcohol Treatment Unit, completion of unfinished space, and renovation of Colonial Building.
DRESGE FOUNDATION.

16,500 to Cenikor Foundation, Lakewood, Colo., 1971. For self-help rehabilitation program for alcoholics, drug addicts, and exconvicts.
BOETTCHER FOUNDATION.

15,000 to Garden Hospital Jerd Sullivan Rehabilitation Center, San Francisco, Calif., 1972. To establish an alcoholic rehabilitation unit.
SAN FRANCISCO FOUNDATION.

15,000 to the Women's Rehabilitation Association of San Mateo County, Redwood City, Calif., to establish a home and rehabilitation program for alcoholic women.
HANCOCK (LUKE B.) FOUNDATION.

5,000 to Rehabilitation of Men and Houses (ROMAH), Washington, D.C., 11/72. For exoffenders, alcoholics, and drug abusers to rehabilitate community buildings and low-income houses.
MEYER (EUGENE AND AGNES E.) FOUNDATION.

10,000 to the National Council on Alcoholism, New York, N.Y., 7/25/72. For general support for programs of prevention, treatment, rehabilitation, and research on alcoholism.
ROCKEFELLER BROTHERS FOUNDATION.

29,500 to Serenity Farms, Hickory, Penn. To provide initial support for paraprofessional training program in alcoholism.
BUHL FOUNDATION.

25,000 to Gateway Farm, Aliquippa, Penn., 9/19/72. For operating funds for rehabilitation center for alcoholics and drug users.
SCAIFE (SARAH MELLON) FOUNDATION.

10,000 to St. Paul American Indian Center, St. Paul, Minn. To support the Center's Alcohol and Drug Counseling Program.
BUSH FOUNDATION.

10,000 to American Rescue Workers, Boston, Mass., 11/72. For operating expenses and renovation of Unity House, rehabilitation center for alcoholic men.
PERMANENT CHARITY FUND, COMMITTEE OF THE.

10,000 to Gateway Rehabilitation Center, Pittsburgh, Penn., 12/12/72. For first-year operating deficit of alcoholic treatment center.
HEINZ (HOWARD) ENDOWMENT.

5,600 to Maryhaven, Inc., Columbus, Ohio, 1972. For establishment of a Three-Quarter Home (minimum support rehabilitation home) for alcoholic women.
COLUMBUS FOUNDATION.

10,000 to Forty-four Capen Street, Inc., Dorchester, Mass., 9/72. For purchase of a halfway house for alcoholics.
PERMANENT CHARITY FUND, COMMITTEE OF THE.

$ 36,000 to Hazelden Foundation, Center City, Minn., 1/8/73. For a 3-year grant to support training of six lay counselors in alcoholism.
BUSH FOUNDATION.

25,000 to Lonesome Pine Hospital Corporation, Big Stone Gap, Va., 1972. For a facility to provide care for mental, alcohol, and drug problems as well as nursing home care.
CULPEPER (CHARLES E.) FOUNDATION.

10,000 to DePaul Rehabilitative Hospital, Milwaukee, Wis., 1971. For construction of part of the Medical Center providing service in diagnosis and treatment of alcoholism.
STIEMKE (WALTER AND OLIVE) FOUNDATION.

5,000 to the National Council on Alcoholism, New York, N.Y., 1972. To support the educational program.
CALDER (LOUIS) FOUNDATION.

8,000 to Catholic Social Service of San Francisco, San Francisco, Calif., 3/3/73. For additional manager counselors at Mission Alcoholic Center.
HANCOCK (LUKE B.) FOUNDATION.

30,000 to Granville House, St. Paul, Minn., 6/1/73. For support of operation of Granville House for remainder of 1973.
BUSH FOUNDATION.

20,000 to the National Council on Alcoholism, New York, N.Y., 4/73. To help reestablish an affiliate in the Greater Boston Area.
SMITHERS (CHRISTOPHER D.) FOUNDATION.

7,500 to the National Council on Alcoholism, New York, N.Y., 3/73. For the preparation of a book on the history of the alcoholism movement.
SMITHERS (CHRISTOPHER D.) FOUNDATION.

125,000 to the National Council on Alcoholism, New York, N.Y., 1/73. For general support of NCA, which carries on programs of education for the general public about alcoholism, assists in establishing programs on alcoholism in industrial organizations, and is an advisory source of local information to counseling services.
SMITHERS (CHRISTOPHER D.) FOUNDATION.

100,000 to the National Council on Alcoholism, New York, N.Y., Affiliate, NYC, 1/73. To aid in the support of public education programs on alcoholism among citizens of metropolitan New York City. Also to help in education of professionals; for additional support of industry programs on alcoholism and expansion of treatment facilities; operation of information, counseling, and referral center.
SMITHERS (CHRISTOPHER D.) FOUNDATION.

12,000 to the International Council on Alcoholism and Addictions, Lausanne, Switzerland, 2/73. For general support of an international clearinghouse on alcoholism.
SMITHERS (CHRISTOPHER D.) FOUNDATION.

13,800 to Myrin Institute, New York, N.Y., 2/73. To support a department for treatment and prevention of alcoholism.
SMITHERS (CHRISTOPHER D.) FOUNDATION.

10,000 to the National Council on Alcoholism, New York, N.Y., 3/73. Toward publication of a quarterly newsletter for physicians on developments in treatment of alcoholism.
SMITHERS (CHRISTOPHER D.) FOUNDATION.

12,000 to San Juan Mission, Farmington, N.Mex., 4/73. For continuing support of program to combat alcoholism among Navajo Indians.
DAVIS (ARTHUR VINING) FOUNDATIONS.

$ 50,000	to Combined Hospitals Alcoholism Program (CHAP), Hartford, Conn., 1973. To help establish acute care and evaluate detoxification center.
6,000	to Nueces County Mental Health and Mental Retardation Center, Corpus Christi, Tex., 1972. Toward purchase of building to house Alcoholism Rehabilitation Center.

HAAS (PAUL AND MARY) FOUNDATION.

Exhibit C—The Foundation Center

One of the most difficult parts of the funding process is identifying and selecting from among some 25,000 U.S. foundations those few that may be most interested in your project. The Foundation Center is a national service organization funded primarily by foundations that provides a single, authoritative, and current source of factual information on philanthropic giving and helps you find out where to apply most appropriately for funding. Using its publications and its nationwide network of library reference collections, you may identify foundation programs that correspond with your needs.

Foundation Center Libraries

The center has two national libraries and two field offices, the addresses of which appear below. In addition, it supplies publications and additional resources to cooperating collections in over 60 public, university, government, and foundation libraries in 45 States, Mexico, and Puerto Rico.

National Collections

The Foundation Center
888 Seventh Ave.
New York, N.Y. 10019
(212) 975-1120

The Foundation Center
1001 Connecticut Ave., N.W.
Suite 938
Washington, D.C. 20036
(202) 331-1400

Field Offices

The Foundation Center—San Francisco
312 Sutter St.
San Francisco, Calif. 94108
(415) 397-0902

The Foundation Center—Cleveland
739 National City Bank Building
629 Euclid Ave.
Cleveland, Ohio 44114
(216) 861-1933

Resources

In searching for information on foundation funding, you will need to consult some specialized research sources. You will have to use indexes to learn about foundations with funding histories in your subject area; you will want to find the names of foundations in your city, State, or region; and you will need to research thoroughly each of the foundations that seems to have a potential interest in your project, locating the address and telephone number, the names of its officers, a description of its financial holdings, and a complete list of recent grants. Among the most important resources available for use at the center's offices are:

- Forms 990-PF and 990-AR—Internal Revenue Services information returns filed annually by all U.S. foundations, which contain fiscal data, addresses, telephone numbers, officers, and grants lists. This is often the only available source of information on the many small foundations.
- Foundation files—newsletters, news releases, newspaper clippings, sample application forms and guidelines, and historical IRS returns.
- Foundation annual reports—comprehensive collection of published annual reports, which usually include the most complete and useful description of a foundation's program.
- Foundation grants by subject—subject indexes to currently reported grants of $5,000 or more using computer printouts, microfiche lists, and periodical and book indexes.

- Reference materials--multiple copies of center publications, directories of funding sources, books and periodicals on philanthropy, proposal writing, and fund raising.

Services

The center provides the following special services to grant seekers:

- Reference librarians are on duty during a full schedule of hours to assist visitors.
- Free weekly orientations are offered in each office; call for reservation information.
- Microform and paper copying facilities are available.
- The Associates Program is a fee service for those needing frequent and immediate access to foundation information. This is a toll-free telephone reference service.

Regional Collections

The regional collections are located in and staffed by host libraries. They contain all of the center's reference works, recent books and reports on foundations, foundation annual reports on microfiche, and IRS information returns for foundations within their State. Write or call the center for a complete address list.

Publications

Copies of the center's publications are available for free use in all of its library collections. Some publications may also be available in other local public or university libraries. Information about some of these publications and purchase information appear below.

The Foundation Directory, Edition 6
Mariamna O. Lewis, Editor
Published September 1977, 650 pages
The Foundation Directory includes up-to-date information on the 2,818 largest U.S. foundations, which account for about 90 percent of foundation assets and 80 percent of the grants awarded by U.S. foundations. Foundation telephone numbers, grant application procedures, and frequency of board meetings are included. A subject index lists by subject area the national and regional foundations with a stated interest in that field.
Cost: $36
Order from: Columbia University Press, 136 South Broadway, Irvington, N.Y. 10533

The Foundation Grants Index
Bimonthly, included as a separate section in *Foundation News.* A tool reporting current foundation grants of $5,000 or more with recipient and key-word subject indexes. An average issue lists more than 1,600 grant awards.
Cost: $20 annual subscription for *Foundation News.*
Order from: The Council on Foundations, Inc., Box 783, Old Chelsea Station, N.Y. 10011.

The Foundation Grants Index
Annual volume
Annual cumulation of the grant information and indexes appearing in *Foundation News.* Includes detailed summaries of about 10,000 grants made by approximately 300 major foundations. It is most useful in its representative reporting of current grants made by large, national foundations, providing a guide to their grant-making interests.
Cost: $16
Order from: Columbia University Press, 136 South Broadway, Irvington, N.Y. 10533

Comsearch Printouts
Annual
Published 1976
Computer printouts in 54 subject areas, including alcoholism, listing grants made in 1976 by over 300 major foundations. These listings are generated as computer searches of The Foundation Grants Data Bank and serve as guides to the major foundations with interests in each category.
Cost: Microfiche: $3 per subject, prepaid
Paper printout: $11 per subject, prepaid
Request complete list of available subjects from The Foundation Center.

The Foundation Center National Data Book
Published September 1977
This is the only directory published that includes information on all the more than 27,000 nonprofit organizations in the U.S. that are classified as private foundations by the Internal Revenue Service. A brief profile is presented for every foundation. Listings include foundation name, address, principal officer, assets, amount of grants

made, and gifts received in the most recent year of record, which is specified. Foundations are listed both alphabetically and by States, in descending order of annual grant amounts.
Cost: $175
Order from: The Foundation Center, 888 Seventh Ave., New York, N.Y. 10019.

About Foundations: How to Find the Facts You Need to Get a Grant
Judith B. Margolin
Revised edition published 1977, 48 pages
Step-by-step instructions for those who want to obtain information on a specific foundation, want the names of foundations in a certain geographic area, or are developing a list of foundations interested in funding projects in a specific subject area. Explicit directions are given for the most efficient and thorough use of standard foundation reference tools. Annotated bibliographies describe the important sources of printed information available on foundations and full information on 33 State or regional foundation directories.
Cost: $3 prepaid
Order from: The Foundation Center, 888 Seventh Ave., New York, N.Y. 10019

Code: MS7

Exhibit D—What Makes A Good Proposal?*

By F. Lee Jacquette and Barbara I. Jacquette

Foundations like to fund good people who have prepared good plans for pursuing good ideas. That's what professional philanthropy is all about. But this general guidance doesn't provide much operational assistance for those writing proposals to present to foundations, or to foundation staffs screening the morning mail. It is hoped that the following comments and checklist will be helpful.

First, some advice for proposal writers: Keep the written proposal short and clear. State at the outset what is to be accomplished, who expects to accomplish it, how much it will cost, and how long it will take. Avoid broad, sweeping generalizations (such as those scattered through this article). Test the proposition on others before submitting it. Be prepared to rethink and to rewrite. Learn about the foundations to which the request will go; be sure they are in fact operating in the area covered by the proposal.

The Proposal

A good proposal will have most of the features and treat many of the questions listed below. *Starred* items are often most conveniently handled as appendices.*

Clear Summary of What Is To Be Accomplished

- Minimum of professional jargon;
- Major features of the proposed plan set forth clearly and logically;
- Objective assessment of the importance of the problem addressed.

Defense of Why This Plan Is Needed

- Why aren't others now meeting need?
- Can they?
- Will they? Would they if funds were available?
- If a new organization is proposed, is it required? Are you sure?
- If others are performing a similar function, or parts of the proposed function, how does the proposed function differ and why is the difference important? (Here it may be sensible to include a short state-of-the-art synopsis of related work done by others in the field addressed by the proposal.)
- Is the time right for the proposed endeavor?

Description of the People To Be Involved

- Brief explanations of positions and correspondind duties;
- Biography or curriculum vitae for each key individual proposed;*
- Defense of the qualifications of the people in view of the job to be done.

Realistic Financing Scheme

- Annual budgets, including projected income (if any) by source; projected expenditures accumulated in logical categories, usually natural expense object classifications: salaries, benefits, rent, travel, telephone, supplies, equipment, etc.;*

*Reprinted by permission from the January/February 1973 issue of *Foundation News*. F. Lee Jacquette is treasurer of Carnegie Corporation of New York and Carnegie Foundation for the Advancement of Teaching. His wife Barbara is former program associate at the Foundation for Child Development (formerly the Association for the Aid of Crippled Children).

- Limited time horizon for foundation support (many foundations prefer 2- or 3-year projects and set an outside limit, e.g., 5 years);
- Program for eventual self-support or support from sources other than the foundation.

Appropriate Organizational Arrangements

- Funds administered by an existing or a new organization, frequently a tax-exempt educational or philanthropic "public charity" (not a foundation as defined in the tax law)
- Appropriate guidance from a responsible board of trustees, directors, or advisers. (A list of proposed board members and their duties or responsibilities is often helpful.*)

Foundation grants are frequently made only to organizations and to institutions rather than to individuals. Grants to individuals are permitted by the tax laws, but only under conditions approved by the Internal Revenue Service.

Many foundations do not provide money for construction projects. Some shy away from general support, preferring specific project support. Some foundations have geographical restrictions; most have a particular substantive program focus. Often foundations have specific notions about the size of grants appropriate to them. The moral: Know the foundation from which assistance is sought.

And what criteria do foundations use in assessing proposals? They vary, of course, but include many of the following considerations:

Competence of Persons Involved

- Quality of references and of reference sources;
- Opinions of members of the foundation's staff;
- Opinions of outside proposal reviewers (professional or specialized consultants);
- Quality of project staff. (Are they among the best of all possible people to undertake the venture?)

Feasibility and Realism of the Proposal

- Is the time right for the endeavor?
- Is the action proposed adequate to the problem addressed?
- Is the sponsoring agency or institution clearly enthusiastic about the substance of the proposal?
- Are the proposed facilities and staffing sufficient for the job?

Importance and Utility of the Venture to the Community or to Society

- Is there a demonstrable need for the project?
- Whom will the project benefit and how?
- Is it based on ethical and moral premises?
- Will there be a measurable improvement if the venture is successful? Will harm be done if it fails?

Originality and Creativity of the Proposed Venture

- Is the project already a part of any other existing program?
- Does the project duplicate or overlap other existing or past programs?
- Is it new and innovative? Alternatively, does it help conserve beneficial programs that might otherwise atrophy or be lost?
- Could the project be carried out better elsewhere or by other persons?

Appropriateness of the Project to the Foundation's Policy and Program Focus

- Is the program consonant with the foundation's current program objectives?
- If so, does it address an area that should receive priority in consideration of proposals?

Prospects for Leverage and Pattern-Making Effects

- Will the project draw in other financial support (if needed)?
- Will the project produce significant changes in a wide circle?
- Will the results be transferable to other projects and localities?

Need for Foundation Support

- Are public sources of funds available (Federal, State, and local governments)?
- Are other private sources more appropriate (other foundations more active in the field, other private institutions or individuals)?

Soundness of the Budget

- Is it adequate for the job to be accomplished, but not so generous as to be wasteful?
- Is it evidence that the project director (or principal support staff) is familiar with the administrative intricacies of conducting the proposed project—and that he has planned carefully for contingencies?

Persistence, Dedication and Commitment of the Proposers

- Have they persevered in efforts to secure needed funds?
- Have they devoted sufficient time to planning and launching the venture?
- Is the project one of their primary interests or a major professional preoccupation?

Provision of Objective Evaluation of Results, Where Feasible

- Will the project staff maintain adequate records to demonstrate success of the project?
- Where the project lends itself to statistical evaluation, has provision been made for recording and analyzing relevant data?
- Where necessary, has appropriate evaluation advice been sought?

The preceding set of considerations and questions applies primarily to grant requests but is also partly applicable to proposals for program-related (socially productive) investments. These program-related investments (PRIs) are loans, guarantees, stock purchases, and similar devices by which foundations support organizations, often profit-making organizations at that, which further the foundation's program priorities.

Program-related investments are sanctioned by the 1969 Tax Reform Act which provides, in relevant part, that:

> "... investments, the primary purpose of which is to accomplish one or more of the purposes described in section 170(c)(2)(B) and no significant purpose of which is the production of income or the appreciation of property, shall not be considered as investments which jeopardize the carrying out of exempt purposes."

Section 170(c)(2)(B) is the portion of the Internal Revenue Code that broadly describes charitable, educational, etc., purposes, contributions for which are tax deductible.

A program-related investment is not made for ordinary investment purposes but is made to serve some tax-exempt purpose chosen by the foundation. It is analogous to a grant and may be made for any purpose for which a grant might be made. So far, however, only a few foundations are actually committing resources to PRIs. But if you can't qualify for a foundation grant, try selling the notion of a program-related investment. The argument goes something like this:

- First, investments in some cases may be more efficient than grants in improving the social return on a foundation's total resources. This is because investments are expected to return part or all of the principal invested and sometimes even some additional earnings on the funds. Grants just don't ordinarily have this feature!
- Second, program-related investments can be particularly appropriate because foundations have a special mission to innovate, to forge new instruments, and to support demonstration projects with high leverage. Program-related investments appear to be effective vehicles for foundations to supply risk capital to underdeveloped sectors of the Nation.
- Third, there is a critical need for foundation money in fields such as minority entrepreneurship. Venture capital is still scarce.

Foundations, by and large, try to stay alert to new and better ways of making constructive social contributions; grant-making and program-related investments are two suitable approaches to this goal. But perhaps there are others. Should foundations, for example, channel some

of their administrative and operational spending into socially productive endeavors? This might entail the use of a Chicano-controlled printer to prepare the foundation's annual report as a spur to minority entrepreneurship. It might entail a limited, special job-apprentice program for unemployed inner-city teenagers.

In any event, foundations are looking for more creative uses for their resources. If you have a project that really merits seed-money foundation support, push your plan—even if it deviates substantially from the general guidelines outlined above. We all have lots to lose.

Code: MS7

Exhibit E—What Will A Foundation Look For When You Submit A Grant Proposal?*

By Robert A. Mayer

The business of getting a grant has two sides to it: how to prepare yourself before asking for a grant, and what the foundation staff member receiving your request will be looking for. These are not entirely independent processes because careful attention to the first one can favorably influence the second. I will discuss them separately, however, since they entail activities by two different people—adversaries, you might say—the person wanting the money and the person holding onto it.

Let's consider your side of the process first: how to prepare. It is logical to assume that, since you are considering approaching a foundation for a grant, you have a specific need—a shortfall of operating funds, a special project, a capital improvement required.

Study your need carefully: Have you exhausted all possibilities to meet the need from your existing resources? Have you honed your operation to such a level of efficiency that there are no wasteful expenditures being made in the normal conduct of business? Are you operating at maximum management efficiency?

Are there other financial sources that could be tapped? The community you serve? Special interest groups that will benefit from this need being met?

Have you examined the anticipated costs of your project in the most minute detail? Is your estimated budget as tight as it can be? No excess frills? No generalized categories such as "other" or "miscellaneous"?

And, most importantly: Is this trip really necessary? What benefits will accrue if this need is met? Who will benefit? How?

It is a given fact that all foundations receive requests for grants far in excess of their capability to respond financially. In addition, foundations are feeling today's economic pinch as much as anybody else and are subject to an increasing scrutiny by the Internal Revenue Service, a scrutiny stimulated by the Tax Reform Act of 1969. Consequently, foundation staff are getting as hardnosed as bankers. You had better have your homework in order before you knock on the door.

How do you go about finding the right door? This is the next step, and a crucial one that many people seeking grants ignore. They will make proposals or requests to a foundation without finding out first if the foundation is interested. That statement might seem inconsistent: How can you know if a foundation is interested if you don't try? There is a process which can eliminate at least those foundations that would have no interest whatsoever. It is not foolproof, but it certainly can help you concentrate your efforts where the prospect of success is highest. Begin by consulting *The Foundation Directory*, Edition 4 (1971), and other publications and information services offered by The Foundation Center. These information sources, described in detail elsewhere in this issue of the center's *Information Quarterly*, will provide you with a better background against which you can frame your proposal, including the purpose and activities of specific foundations, the locale in which they make grants, and the general size of grants they make.

Once this information-gathering process has been completed, you can begin to pare your list of possible sources to a group of foundations that have supported projects similar to yours or a variety of kinds of projects in your local community. Such small, often family-operated foundations can be a good source of support for a project whose impact will be localized. This kind of project does not normally fare well when presented to a large national foundation, such as the Carnegie Corporation or The Rockefeller Foundation. Again, be creative. See

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if you can put together a combination of financial aid from the smaller foundations. These organizations are often staffed by individuals who are doing the work as a second job. Many are not what we might call professional foundation managers; they may be attorneys for the family who supports the foundation. Therefore, they have neither the time nor the experience to permit deep analysis of proposals. An exciting project, soundly conceived and presented in a well-documented manner, can make a strong showing here. It makes the part-time foundation manager's job easier.

The last step and, I assume, to many the most important one, is preparing to approach the larger foundations. What interests do they have? The Foundation Center has another resource that you should use. It maintains copies of the published annual reports of foundations. The last figure I heard mentioned is about 200 foundations that issue public reports. Some of these merely list grants approved. Others, such as those issued by Rockefeller and Ford, have extensive narrative sections addressed to the general philosophy of the foundation and its major program thrusts. This is of vital importance. You do not want to present a proposal for construction of a new library building to a foundation that does not make grants for bricks and mortar.

To summarize so far, in preparing yourself to ask for a grant, do two things: have a well-conceived, well-documented, hard proposal and know as much as possible about the foundation you are approaching.

Now let's look at the problem from the other side. What will the foundation staff member look for in a proposal? This is a difficult area in which to provide guidelines. As I have already mentioned, each foundation has its own philosophy, its own program interests. Proposals submitted to a foundation are reviewed against these program interests by foundation managers. In The Ford Foundation, we call them program officers, so I will use that term in a general sense for convenience. You will often find differences of approach among program officers in the same foundation; in the larger ones, these can be important differences. The guidelines I will discuss grow out of my own experience as a program officer, one of whose responsibilities for 5 years was to review grant proposals.

A program officer's first question will be: Is this type of project an activity that fits within the foundation's program interests? If you have done the preparatory work I suggested, the answer should be yes. Either the foundation makes grants for your kind of project or it makes general grants to organizations like yours or in your specific locale.

Given a yes to the first question, a second, closely related one will be: Is the type of support requested of the kind the foundation gives? Here I am referring back to the description of your need that I gave earlier. Is it to cover operating deficits, or is it for construction purposes or a specialized project outside of basic operations? A foundation may very well make grants to organizations of your type—but not for operating support or for construction. Here again, we can see the importance that careful preparation has on favorable reception by a foundation.

Now that you have your foot in the door, we get to the difficult part—the subjective review of grant proposals by program officers—the assessment of the value of the project. What is the scale used to measure value? I have to answer that question by saying there are two: one used by large foundations that operate on the national scene, and one used by smaller foundations with more localized interests.

The tendency in a large foundation is to examine a project's value for its possible impact on the national horizon. Can it serve as an experiment that has transferral potential? Is it addressed to a need that other similar organizations are also feeling? These are questions that try to determine the value of a project beyond the institution requesting the grant. However, a measure of the project's demonstration potential is not the only one used by large foundations. The project may have an intrinsic value of its own from which others will benefit. To phrase this in question form: Is this project of importance to society at large? As a specific example, we might think of a medical research project—say Dr. Jonas Salk's research on polio vaccine. This kind of project would not be judged for its demonstration aspects but for its intrinsic value to society.

It is important not to misinterpret these statements to mean that the larger foundations do not care about the institution requesting support. They do, but as a secondary objective. It is obvious that successful performance of a project will strengthen the institution. We

also find that, in identifying activities it wants to support, a foundation may choose to accomplish its goals by strengthening individual organizations. Examples of this drawn from The Ford Foundation's experience would be its efforts to strengthen symphonic performance throughout the United States through large-scale grants to many symphony orchestras—or to improve the quality of private higher education through a massive grant program that provided institutional support to 61 colleges.

Grants made under these programs were truly for institution-building purposes. But they evolved from program interests—values—emerging from inside the foundation and not from individual grant requests. So if your proposal is primarily for general institutional support, it will probably not get past the screening process in a large foundation, unless it falls within a distinct program already established by the foundation. Your preparatory review of published foundation annual reports will help you to identify any such programs that exist.

If your proposal has survived to this point, you pretty well have it made. Further review will center around the realities of your estimates as to how long the project will take; how much it will cost; how its accomplishments will be measured; how it will be financed beyond the immediate grant period should it be a program with a continuing project life. This last point—future financing—is an important one. Often, foundations are told by prospective grantees that a project will be self-sufficient by the time the initial funding period ends. Seldom, in my experience, have these estimates been realistic. The larger foundations do not like to breed albatrosses, so deal with them in full honesty in regard to this. If the foundation has already acknowledged the value of the project, it is not going to be frightened off if the cost estimates are realistic and it is fully aware of possible continuing financial need for which it will be responsible.

Now let me turn to the value system used by those foundations which I would categorize as local foundations, although even some of the national ones might operate in a somewhat similar manner. How a dividing line can be drawn is difficult to say. Your preparatory review of the information available in *The Foundation Directory* or in The Foundation Center's files will probably help you draw this line yourself. There are the obvious: a foundation which operates only in one city, or a foundation which your previous analysis has shown makes varying kinds of grants to varying kinds of institutions with no definable program pattern.

In these a program officer will be looking more at the value of the project in itself—not at its transferability or its national impact. Is the problem one that needs solution? Is the proposal soundly conceived to accomplish its stated objective? What is the track record of the institution? Is it highly regarded in its specific field of interest? Does it have the human resources to carry out its proposal? I should make a parenthetical note here that all of these questions will be asked by a large foundation as well, but in the context of the other value questions I've already stated.

On the point of human resources, I do not mean that an institution needs to be fully staffed to carry out a new project before asking for a grant; the assistance requested may very well be funds to expand an institution's staff. I am referring more to the institution's leadership. Foundations are primarily in the business of betting on people, on the ability of human beings to carry out a proposed activity. Even if we talk about grants for construction of a new building, we must depend upon the people who have planned the building and those who will see that it is built. So, the existing inner strength of an institution is a key element used in measuring the capability of that institution to move forward.

Should the answers to these questions be yes—there is a problem that needs to be solved; the submitted proposal is a feasible way to solve it; the institution making the proposal has a reputation as a good performer, and the institution's leadership has the ability to see this project through to successful completion—you are practically home free. The same questions that would be next asked by the program officer of a large foundation will also be asked by the program officer of a smaller foundation: How long will the project take? How valid are the cost projections? How will it be evaluated?

I have tried to sketch an investigation process that can take, in the case of a large foundation, up to a year to complete. The better you, as the person asking for a grant, prepare yourself through your knowledge of a foundation's specific interests or the general direction

a program officer's analysis might take, the less pain this process will cause you.

I'm sure I have not asked all the questions that every foundation program officer may ask a prospective grantee, but if I've given you a modicum of insight into the strange world of giving money away, then I will have served you and my foundation colleagues well.

Code: MS7

Exhibit F—Guidelines for Getting a Grant

The form of an application is much less important than the content. All grant applications, however, should start with a summary letter outlining purpose, background, amount requested, and time limits. Detail may be included in attachments.

1. **Purpose and definition of project**
   - What is the basic purpose of the project?
   - How long will the project last?
   - Is this a new activity? Has the field been researched to find similar projects? Has a similar project failed? Succeeded? What has been learned from previous projects of this nature?
   - Is this a continuation of a program or project? How well has it succeeded? Is it a modification? Why?
   - What provision has been made for client participation, if applicable? If the proposal is to do a study, what plans, if any, have been made to implement the findings? Will the results be made available to others? What new methods and techniques will be tested?
2. **Priority of project**
   - How serious is the need and necessity for immediate action?
   - Why does this project deserve aid more than others competing for funds in the same field?
   - Is this request in effect competing with other requests from the same organization? If so, what priorities would the organization establish among these requests?
   - What is the target population? How large is it? How and to what extent will the program benefit the target population?
   - What immediate and long-range results are expected? Will these results help other organizations?
3. **Financial information**
   - What is the current operating budget of the organization? Itemize income and expenses.
   - What is the anticipated budget for this program? Is the budget large enough? Is it too large for the results anticipated? Give a complete budget breakdown. What provisions have been made for independent audit of budget expenditures?
   - Will the project continue beyond the funding period? If so, who will provide the funding? How firm a commitment for this future funding has been made? Will this ensure ongoing funding?
   - Have requests for financial support of this project been submitted to other foundations, governmental agencies, or other funding sources? Has the project secured funding commitments from any of these sources? If so, for how much and from which source(s)?
   - Are requests by this organization for other projects currently pending before other funding organizations? How are they related to this proposal?
4. **Background of request**
   - How long has the requesting organization or agency been in existence? What has been the performance to date of the requesting organization? List previous foundation-supported projects.
   - Is the organization tax exempt [501(c)(3)]? Attach exemption form if it is a new organization.
   - What other organizations are active in the same or similar activities? What are the cooperating organizations, if any?
   - Has this project been approved by the proper personnel in the requesting organization? Does it have their full support? Is there professional

support for or other evidence of the validity of this project? What is the relationship of this project to the overall goals and services of the requesting organization?

5. **Personnel**

- Who are the trustees and officers of the requesting organization? What financial support do the trustees give to the organization? What part do they take in policy formation and program direction? How, and to what extent, do the trustees participate in the programs of the organization?
- Who are the staff personnel? What are their professional qualifications for doing the proposed work?
- Will additional staff be required for this project? Are these persons readily available? To whom will they be responsible?

6. **Evaluation**

- By what criteria will the success or failure of this project be measured?
- Has adequate provision been made for the preparation of a final report? What type of progress reports are planned? How often will they be prepared? Who will get them?
- What provision has been made for objective evaluation of the results, short- and long-range? What techniques will be used in making evaluations? Who will do the evaluating?

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Exhibit G—Sample Letter to a Foundation from a Successful Applicant for Financing

We are seeking financing in order to expand our community development program, which operates in 19 Latin American countries and which has a strong educational thrust.

The Pan American Development Foundation operates through locally controlled National Development Foundations, with the purpose of facilitating loans for community self-help projects such as clinical training of health workers, the construction of market roads, the purchase of land by former sharecroppers, and the provision of sanitary facilities in schools. The PADF channels grants and loans to NDFs, which match such sums from local sources. The NDFs then lend at local bank rates of interest for projects otherwise unable to get reasonable financing. A record of repayments over 90 percent on schedule testifies to the fundamental suitability and success of the method.

Subsidiary programs of the PADF provide for the transfer of contributed machinery and equipment for elementary and vocational schools and for hospitals and clinics. Extensive technical assistance has been provided as well, through field workers who respond to the peasants' requests with practical information as well as guiding them through the intricacies of financing.

Since our first NDF affiliate was organized in 1966, we have made available almost $9 million in contributed materials, and over $1.5 million in revolving loan funds generating loans of about $4 million. Our funds have been obtained from the U.S. Agency for International Development; from the Organization of American States, under whose auspices we operate; from private and international businesses and banks; from foundations; and from our own operations (loan interest and service fees). We have been successful, and unusual, in that virtually all the funds received have been placed at the disposal of poor persons in Latin America to help them to attain a higher standard of living.

When we began to operate, we thought only of serving a credit function; our experience now suggests that it would be valuable to set up a related educational component: first, to provide some systematic training for field workers from the area, and second, to introduce peasants to some fundamentals of agricultural technology and business management. In Nicaragua (where 75 percent of the people are illiterate), the Development Foundation has just been donated a 23-acre educational center, complete with classrooms and dormitories. We foresee courses of 2-4 weeks in length, and expect to work with about 100 field workers and 200 campesinos during the first year. Costs would run about $5 per man per day. Both aspects of this educational program would stimulate the movement of the peasant from his present fatalistic condition into the center of development.

I.

We are approaching you for support in this endeavor because of your interest in education and in vocational training. We realize that so far you have contributed only indirectly to international efforts; however, the work of the PADF is so basically humanistic that we hope you may feel it would offer an appropriate means of expanding your orientation. We would welcome the opportunity to give you more history, facts, and figures, along with some case studies to show how the current PADF activities have been effective. May we make a formal presentation?

Note: The first five paragraphs were sent to all foundations; the final paragraphs (I, II, and III) were each addressed to a specific foundation.

II.

We are approaching you for support in this endeavor because of your interest in community development as well as in education. We appreciate the small donation you made to our program a few years ago, and now we hope you will be in a position to give support to the Nicaraguan center, which is one of the most practical educational projects now getting under way in developing countries.

We would welcome the opportunity to give you more history, facts, and figures, along with some case studies to show how the current PADF activities have been effective. May we make a formal presentation?

III.

Our approach to you for aid in this endeavor is based upon your promotion of educational programs. We do realize that your foreign support has so far been concentrated in Israel. We ourselves work quite closely with the Israelis, benefiting from their expertise in agriculture and cooperative organization; in fact, we have arranged seminar/field trips in Israel for the NDP officials. A grant to the PADF could be used in connection with our Israeli interest; at the same time, you would be expanding your own geographic orientation, and we hope you will feel that the PADF work would give you an appropriate means of doing so. The Nicaraguan center, for instance, is one of the most practical educational projects now getting under way in developing countries.

We would welcome the opportunity to give you more history, facts, and figures, along with some case studies to show how the current PADF activities have been effective. May we make a formal presentation?

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Handout 4—Foundations

I. **General comments**
   - A. 26,000 foundations in United States (exhibit B)
     1. Professional
        - a. Ford, Carnegie
        - b. Account for 75 percent of money given by foundations
        - c. Interested in unique demonstration projects with potential nationwide impact
     2. Corporate
     3. Family
     4. Community
   - B. Sources of information
     1. The Foundation Center
        - a. See exhibit C for services
        - b. Foundation Directory lists only 20 percent; those granting $25,000 or more or having assets of $500,000 or more.
     2. 990-AR
        - a. Foundation tax return
        - b. On file in regional IRS office.
     3. All foundations in given State must file with State Attorney.
     4. Annual report
     5. Tax Reform Act of 1969—Foundations must distribute each year all of earned income or 6 percent of net assets.
   - C. Less than 20 percent of submitted proposals receive money.

II. **Must know as much about the foundation you are petitioning as they know about themselves**
   - A. Purpose
     1. What they say versus what they do
     2. Tax return (990-AR): Who money is given to.
   - B. Net assets
   - C. How much allocated?
   - D. Client focus—age, sex, peculiar characteristics
   - E. Milestones
     1. Review process
     2. When directors meet.
   - F. Staff
     1. Is it professional or family-run?
     2. Who sees proposal?
   - G. Who is on the board?
   - H. Contact successful recipients

III. **Pick the best bets**

IV. **Prepare the proposal carefully**
   - A. See exhibits D, E, and F
   - B. Other suggestions
     1. Request transitional funds
     2. Be optimistic
     3. Be brief (three to five pages) and to the point.

Handout 5—Other Sources of Funding for Alcoholism Services

I. **Federal and State**

- A. Administration on Aging (project grants to communities)
- B. Alcoholism programs of the Office of Economic Opportunity (communities)
- C. Comprehensive health planning (planning and project grants)
- D. Regional medical program
- E. Indian health programs
  1. Public Health Service
  2. Department of Interior
- F. State Committee on Employment of the Handicapped
- G. Model Cities (grants to communities)
- H. Appalachian Regional Commission
- I. Department of Labor (State Employment Service)
- J. Bureau of Prisons (Federal); Department of Corrections (State)

II. **Local**

- A. Unions
- B. Mental Health Association (county)
- C. County Mental Health Board
- D. Employer insurance plans
- E. Local alcoholism councils
- F. Salvation Army
- G. Religious and civic groups
- H. Lotteries
- I. Fund-raising drives or activities
- J. Liquor tax
- K. Institutional funds

Reference 1—Cost-Saving Measures

A. Reducing cost (general)

The important point is always to be alert and to look for efficiency. This is the best possible way to reduce cost. The following are helpful:

1. Special sales, discounts
2. Free food
3. Used clothing
4. Wholesale goods
5. Gardens
6. Elimination of duplication
7. Substitutes (A home economist can provide assistance. Processed foods, for example, tend to be much more expensive and less nutritious.)
8. Bulk buying (Food items, in particular, usually cost less in bulk. If your house is very small, try combined buying with other halfway houses. The larger the quantity bought, the less expensive the cost is per unit.)
9. Freezer (for storage of bulk items)
10. GSA goods (government surplus)
11. Damaged or salvaged goods (canned foods, furniture, etc., which might have slight exterior imperfections)
12. Bids (Get bids on services or supplies. This tends to make providers compete and offer lower prices.)
13. Conserve utilities (Use less heat, turn off lights, reduce bulb wattage, etc.)
14. Preventive maintenance and health care (It usually costs less in the long run to prevent deterioration.)
15. Increased wage rates (to attract better qualified personnel)
16. Third-party payments (try to obtain for all eligible residents)
17. Top 20 percent (Focus on your largest expenditures. The top 20 percent usually are the most important in terms of budgeted amounts and program survival.)
18. Program management (Develop and train your staff to operate the program in your absence.).

B. Fundraising ventures

These ventures provide only a limited amount of capital but are relatively simple to institute. Some examples follow:

1. Raffles, bingo
2. Lunches and dinners (open to the community)
3. Craft sales, bazaars
4. Sale of unused donations
5. Coffee and house kitties (nickels and dimes add up)

C. Auxiliary funding sources

These sources usually bring in larger amounts of money at one time or operate on a long-term basis. Some examples follow:

1. Canteens
2. Dry bars
3. Income property
4. Coin-operated laundries (Houses can operate a project for profit if no one person benefits and all revenue is absorbed by the halfway house.)
5. Wills
6. Trust funds (Halfway house can be named as beneficiary for tax-exempt donations.)
7. Local foundations (Such foundations must give all moneys accrued on a yearly basis. They can do this if you meet their requirements.)
8. Philanthropists
9. Bottle tax (Many states have a bottle tax; in some instances, money can be used for treatment and prevention.)
10. Liquor industry (Some firms have funds set aside for prevention, treatment, and research.)
11. Government funds and grants.

D. Volunteers (full- and part-time)

Volunteers can provide many services to your program, from gardening, doing repairs, decorating, and remodeling to providing auxiliary services to your residents (i.e., transportation, recreation, etc.). One point to keep in mind is the need to familiarize volunteers with your program and its goals to avoid conflicting purposes. If possible, give the volunteers some inhouse training or other form of orientation. The following are examples of possible volunteer groups:

1. Senior citizen groups
2. Retired businessmen
3. Youth groups
4. Religious groups
5. Red Cross (first-aid instruction, supplies, etc.)
6. Salvation Army
7. Alcoholics Anonymous, Al-Anon, Alateen.

E. Specialized volunteers

Such volunteers include consultants with an area of expertise. (Even if the consultants are paid, their guidance can be an asset in many areas.) The following may be considered possible resources:

1. Legal field
2. Certified Public Accountants
3. Colleges and universities (Students and professors in specialized areas can be used for research, surveys, etc.)

F. Service donators

If approached properly, the following groups can be of tremendous assistance:

1. Paraprofessionals and consultants (depending on your need and their particular specialties)
2. Welfare agencies
3. Departments of Vocational Rehabilitation (can provide financial assistance and services for residents)
4. Insurance companies (can offer literature, information, and statistics concerning alcohol abuse in business and industry, etc.)
5. Printing companies (They may print literature, brochures, etc., free of charge if adequate space is given for credit on the materials.)
6. The media (Newspapers, radio, and television can give public-service announcements free of charge or can present people on talk shows. Question-and-answer columns about alcohol abuse and alcohol problems can be printed in newspapers.)
7. Businesses (Many times businesses will donate goods, used or new. This can provide a tax deduction for them.)

G. Political support

State and Federal legislators can be a source of assistance. (Usually the best approach is to start at the local level and work your way up. Get to know your representatives. Getting recognition for your efforts can lead to additional sources of funds.)

Share experiences and express appreciation to anyone who has helped your program.

Handout 1—Commonly Used Financial Management Terms

1. Direct costs — costs directly incurred and attributable to the management and implementation of a specific program, service, activity or event. Such costs include salaries, benefits, consultant fees, payroll taxes, travel, supplies, and postage.

2. Indirect costs — costs that cannot be directly assigned to an individual program, service, activity, or event because the services they provide support more than one function. In a program like a halfway house, indirect costs are calculated only if administrative services support more than one unit (e.g., addition of another house or a graduate apartment).

3. Overhead — same as indirect costs

4. Overhead rate — $\frac{\text{overhead or indirect costs}}{\text{direct costs}}$

5. Cash disbursements — all amounts paid out by cash or check for all items related to maintaining the program: salaries, benefits, food, equipment purchase or rental, travel reimbursement, telephone, coffee, etc.

6. Cost per unit of service — The purpose of this is to calculate the unit costs for each type or category of service provided by the project. This information is needed in controlling costs and may be useful in determining fees to be charged for services. A unit cost is made up of all expenses directly related to providing a service (e.g., counseling) plus a portion of the indirect (administrative and operating) costs of the project, divided by the number of services (counseling hours) delivered during the period. This calculation results in a "cost per unit of service." The unit could be, for example, 1 counseling hour, 1 inpatient day (for the recovery center), or one session of group activity. Unit costs represent a standard measure of program effectiveness and efficiency used by the health profession.

Two major factors need to be considered in reviewing unit costs:

- Cost factors (cost of operation)
- Volume factors (volume of services provided)

These factors reflect the two parts of the unit cost evaluation. For example:

$$\text{Cost per inpatient day} = \frac{\text{inpatient costs (costs)}}{\text{number of inpatient days (volume)}}$$

Both costs and volume factors may be responsible for differences between the actual unit costs and historical or budgeted unit costs. Costs of staff and supplies may increase over time with inflation and may decrease with the substitution of lower-cost staff or supplies. The volume of services provided to clients may change as well—either increasing or decreasing.

Handout 2—Cost Per Resident Day, Computation Case Study

(4 Buildings, 75 Residents, 365 Days)

		1 Cost Per Year	2 Cost Per Day*	3 Cost Percent**
Salaries (see schedule #1)		$239,000	$ 8.73	56.6
Payroll Taxes (see schedule #1)		17,000	0.62	4.0
Employer's Benefits		15,000	0.55	3.6
Plant				
Repairs and maintenance	$5,000			
Supplies	4,000			
Insurance	4,500			
Rentals	3,600			
Laundry	2,400			
Mattress and linen, renewals	9,000			
Utilities	10,000	38,500	1.40	9.1
Administration				
Office supplies and expenses	3,000			
Telephone	4,000			
Auto expense and mileage	6,000			
Legal and audit	3,000			
Dues and subscriptions	3,000			
Travel	5,000	24,000	0.88	5.7
Dietary				
Regular, special, and medical		66,000	2.41	15.6
Staff Training, Seminars and Films		15,000	0.55	3.6
Taxed Payments		7,500	0.27	1.8
Total Expenses (costs)		$422,000	$15.41	100%

*Cost per day = cost per year ÷ volume (number of resident days)
In this case, volume = 75 (residents) x 365 days or
volume = 27,375 resident days

**Percent = cost per year ÷ total expenses ($42,000)

Computation of Cost Per Resident Day

$$\text{Cost Per Resident Day} = \frac{\text{total expenses (costs)}}{\text{resident days (volume)}}$$

$$= \frac{\$422{,}000}{27{,}375}$$

$$= \$15.41$$

Handout 3—Unit Cost Computation

Unit Cost Computation Instructions

The purpose of the Unit Cost Computation is to determine the cost of a unit of service. This information is needed to provide assistance in controlling the costs and may be useful in determining rates that should be charged for services. It has a secondary purpose of computing the overhead rate (administrative costs) and allocating them to the cost centers.

The report form contains some specific instructions. Additional instructions relate to the order in which the form should be completed.

- First, enter amounts as instructed for lines 1, 4, and 6.
- Second, complete line 7 computation.
- Third, complete line 2 computation following instructions.
- Fourth, complete line 3 and finally, complete line 5.

It is recommended that this report be completed monthly. It should be always completed at least quarterly.

Code: MS9

HANDOUT 3

Unit Cost Computation Report Form

Period _____ to _____	1	2 Counseling	3 Room & Board	4 Total
1. Total Direct Cost		$	$	$
2. Allocated Administrative Costs (Indirect) (Overhead rate x total direct cost)		$	$	$
3. Total Cost line 1 plus line 2		$	$	$
4. Units (encounters, sessions, client days, etc.)				
5. Unit Cost (line 3 divided by line 4)		$	$	$
6. Administrative Cost (indirect cost)		xxxxxx	xxxxxx	$
7. Overhead Rate (total for line 6 divided by total for line 1)				

_____ Prepared by

_____ Revised by

Handout 4—Unit Cost Computation Case Study

This example is of a hypothetical program but illus trates the procedures necessary to determine unit cost for service provided You are given the following information

1. A halfway house employs a director, two counselors, and a cook.
2. It operates on a budget (last year's figures) of $70,000 a year.
3. It treats a total of 50 men over a 1-year period.
4. Total direct cost for counseling services amounts to $20,000 (50 percent of both counselors' time and salaries, 10 percent of both the director's and cook's time). This figure also represents employee benefits for the percentage of time worked doing counsel ing, travel attributed to counseling activities, supplies, and other counseling expenses.
5. Total direct cost for room and board expenses is $40,000, which includes 40 percent of both counselors' time and salaries, 5 percent of the director's time, 85 percent of the cook's time. This figure also represents employee benefits for the percentage of time worked performing room and board activities; travel attributed to it; food, laundry, and linen; housekeeping supplies; a percentage of the rent; and other room and board expenses.
6. Total indirect administrative cost amounts to $10,000, which includes 10 percent of counselors' time and salaries, 85 percent of director's time and salary, and 5 percent of cook's time and salary. This figure also represents employee benefits for the percentage of time worked performing solely administrative activities, travel attributed to it, major percentage of the rent and utilities, supplies, postage, busines insurance, and other administrative expenses.

The problem is as follows:

1. Calculate the allocated administrative cost for both counseling and room and board (line 2), making sure that this sum equals the total administrative cost (line 6).
2. Calculate the unit cost for both counseling and room and board for a client over a day's time.

Code: MS9

Reference 1—Procedure for Calculating Allocated Administrative Cost and Unit Cost for a Service

I. **Enter amounts on line 1, 4, 6.**

	Counseling	Room & Board	Total
1.	$20,000	$40,000	$60,000
2.			
3.			
4.	Client day (50 men x 365 days/yr)		
5.			
6.	xxxxx	xxxxx	$10,000
7.	xxxxx	xxxxx	

II. **Complete line 7 computation.** (Line 6 divided by line 1—Totals column)

$$\text{overhead rate} = \frac{\$10,000}{60,000} = 1/6^*$$

*This was not changed to a percent figure in this instance for ease of calculation.

III. **Complete line 2 computation following instructions** (overhead rate times cost centers in line 1).

*These are the first two answers to the problem.

Counseling	Room & Board
(1/6) x ($20,000) = $3.333	(1/6) x ($40,000) = $6,666

Fill in line 2 on computation sheet.

	Counseling		Room & Board		Total
1.	$20,000	+	$40,000	→	$60,000
2.	3,333	+	6,666	→	10,000
3.					
4.	Client day (50 men x 365 days/yr)				
5.					
6.	xxxxx		xxxxx		$10,000
7.	xxxxx		xxxxx		1/6

IV.A. Complete line 3 (total the figures).

	Counseling	Room & Board	Total
1.	$20,000	$40,000	$60,000
2.	3,333	6,666	10,000
3.	$23,333	$46,666	$70,000
4.	(50 men x 365 days/yr)	(50 men x 365 days/yr)	
5.			
6.	xxxxx	xxxxx	$10,000
7.	xxxxx	xxxxx	1/6

IV.B. Complete line 5 computation (line 3 divided by line 4).

*This will give the second set of answers to the problem.

Counseling	Room & Board
$23,333 / (50 men x 365 days/yr)	$46,666 / (50 men x 365 days/yr)
↓	↓
$23,333 / 18,250	$46,666 / 18,250
↓	↓
$1.275 to counsel one client per day	$2.55 to provide room & board to one client per day

The completed computations should look like this:

	Counseling	Room & Board	Total
1.	$20,000	$40,000	$60,000
2.	3,333	6,666	10,000
3.	$23,333	$46,666	$70,000
4.	Client Day	Client Day	xxxxx
5.	$1.275	$2.55	$3.825
6.	xxxxx	xxxxx	$10,000
7.	xxxxx	xxxxx	1/6

If counseling and room & board are all the services the program provides for the client, the total figure of line 5 would represent the per diem cost for the treatment of that individual for a day, or $3.83.

If other services not related to his treatment were included (column 1, which is blank), this would lower the per diem necessary for a client's treatment.

Code: MS10

Handout 1—Organization Task Instructions and Information

You are members of a team planning the organization of a new alcoholism program. Some preliminary thought has been given to this task, and you have before you the program description and a suggested organization chart.

Your agenda for this meeting is to accept or modify the organization chart and to draft job descriptions for the manager and the counselor. Use any and all available materials to help you perform the task.

Your recommendations should reflect the latest developments in management theory. In particular, the job descriptions should do the following:

1. Be consistent with program goals
2. Be as specific as possible
3. Reflect the managerial role of the director
4. Show consideration of the principles of good delegation.

Your recommendations may include any suggestions for improving the program, although this is incidental to your task.

GOAL: to provide a group living experience that reconstitutes the protective and supportive elements of a good family while encouraging and providing opportunities for independent growth; to help clients substitute more conventional and constructive behavior patterns as a means of coping with the environment

SERVICES: family-style living accommodations
individual and group counseling
A.A. meetings
social and recreational activities
vocational counseling
orientation for new residents.

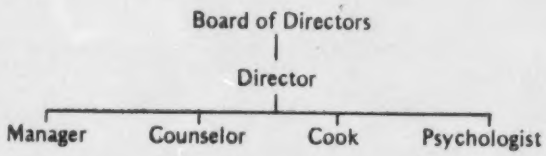
ADMISSION CRITERIA: male, eighteen years or older
currently not drinking
employable
agrees to observe house rules.

STAFF: Full-time: director
manager
counselor
cook

Part-time: psychologist
secretary

OTHER: house capacity: 20
fee: $35 per week; waived while resident is unemployed
some residents receive public assistance until employed

SUGGESTED ORGANIZATION CHART



Handout 2—Study Guide: Delegating and Sharing Work

1. Assuming the Board of Directors is equivalent to your superior or supervisor in the organization, what problems related to delegation have you encountered?

2. What problems or uncertainties have you experienced in delegating to your staff?

3. Which one or more of the suggestions for increasing your success in delegation would you like to try?

Code: MS10

Handout 3—Study Guide: Developing Personnel

1. In the course of your reading, find answers to the questions on p. 2 of the article.

2. If size is not a consideration for the program in determining the value of staff development, what *are* some of the considerations that are peculiar to your program?

3. What factors of program operation may pose some difficulties in implementing systematic staff development? How critical are these difficulties?

Handout 5—Morale Index Report Form

Grand Total =

Row Totals

My Organization =

My Superior =

My Employees =

My Supervision =

Handout 1—Personal Review Form

PERSONAL REVIEW FORM

NOTE: These questions are intended to help you think objectively about your work: your assignments, your capabilities in handling these assignments, and your future. Your manager is also appraising your abilities and attitudes that determine your performance and your progress. A sincere, constructive discussion between you and your manager will then produce an understanding upon which improvement in your present job and plans for your development can be based.

This form has been designed to assist you in preparing for your counseling interview. You do not have to use it unless *you* wish to do so.

If you decide to complete this form, it is *not* necessary that it be shown to your manager. You may either (a) retain it, or (b) give it to your manager to retain as a confidential document, whichever *you* desire.

1. In your own words, describe your present duties and responsibilities.

2. What part of your job interests you the most?

   What part of your job interests you the least?

3. Are there any aspects of your job in which you feel you need more experience and training?

4. Do you feel you have abilities which are not being fully utilized on your present job? Can you suggest how they can be more fully utilized?

5. Are there any changes you would like to see made in your job which would help you to improve your performance?

6. What is your ambition or goal for the next 5 years? What are you doing to prepare yourself?

_____

_____

_____

_____

_____

7. Note any personal factors (health, family, etc.) which you feel should be considered in your present job or future assignment.

_____

_____

_____

_____

Name _____ Date _____

Handout 2—Performance Planning and Evaluation

Employee Name (Last, First & Initial) Serial Number

Date Employed Position Title Position Code—4-digit (Optional)

Date Assigned Present Position Date Assigned to this Appraiser

Date of Performance Plan Date of Performance Evaluation

Location Office or Dept. Number Division

PERFORMANCE PLANNING

RESPONSIBILITIES (Key words to describe the major elements of this employee's job)	PERFORMANCE FACTORS AND/OR RESULTS TO BE ACHIEVED (A more specific statement of the employee's key responsibilities and/or goals the employee can reasonably be expected to achieve in the coming period)	RELATIVE IMPORTANCE

CHANGES IN PERFORMANCE PLAN (May be recorded anytime during the appraisal period)

OPTIONAL ADDITIONAL PLANS (Where considered appropriate by manager and employee)

PERFORMANCE EVALUATION

ACTUAL ACHIEVEMENTS	LEVEL OF ACHIEVEMENT				
	Far Exceeded	Consistently Exceeded	Exceeded at times	Met	Unsatisfactory
ADDITIONAL SIGNIFICANT ACCOMPLISHMENTS					

PERFORMANCE EVALUATION (cont'd)

CONTINUING RESPONSIBILITIES
(Responsibilities, not covered on p. 2, to be considered only when they have had a *significant* positive or negative effect on the overall performance)

_____

_____

_____

RELATIONSHIPS WITH OTHERS (JOB RELATED)
(*Significant* positive or negative influence this employee has had on the *performance* of other employees)

_____

_____

_____

OVERALL RATING
(considering all factors, check the definition that best describes this employee's overall performance during the past period.)

Satisfactory

_____ Results achieved far exceeded the requirements of the job in all key areas.

_____ Results achieved consistently exceeded the requirements of the job.

_____ Results achieved exceeded the requirements of the job at times.

_____ Results achieved met the requirements of the job.

Unsatisfactory

_____ Marginal performance. Must improve to satisfactory.

_____ Inadequate performance. On notice.

HANDOUT 2

Code: MS11

COUNSELING SUMMARY

Employee Strengths	Suggested Improvements
1. _____	1. _____
2. _____	2. _____
3. _____	3. _____

SIGNIFICANT INTERVIEW COMMENTS
(Record here only those additional significant items brought up during the discussion by either you or the employee that are not recorded elsewhere in this document.)

_____

_____

_____

_____

_____ _____ _____

Manager's Signature | Print Name | Date of Interview

EMPLOYEE REVIEW
Optional Comments: If the employee wishes to do so, any comments concerning the performance plan or evaluation (for example, agreement or disagreement) may be indicated in the space provided below.

_____

_____

_____

I have reviewed this document and discussed the contents with my manager. My signature means that I have been advised of my performance status and does not necessarily imply that I agree with this evaluation.

Employee's Signature _____ Date _____

MANAGEMENT REVIEW

Optional Comments _____

_____

_____ _____ _____

Reviewer's Signature Print Name Date

CONFIDENTIAL EMPLOYEE DEVELOPMENT PLAN

Employee Name (Last, First & Initial) | Serial Number

Position Code & Level | Present Position | Date Assigned Present Position:

EMPLOYEE'S INTERESTS AND ASPIRATIONS (Based on views and comments conveyed to you in your ongoing relationship)

FUTURE POTENTIAL (What is this employee's growth potential in the next 2 to 5 years, based on his/her interests and your assessment of the employee?)

DEVELOPMENT NEEDS (What education, personal improvement, special assignment, or other functional/divisional experiences would increase his/her potential for advancement?)

ACTION PLANS (What specific actions are planned to meet these development needs? Whose responsibility to implement?)

PREVIOUS ACTION PLANS (What specific results were achieved under this employee's development plan for the prior appraisal period?)

Prepared by: Date Reviewed by: Date

Handout 3—Management by Objectives

BASIC CONCEPTS

MANAGEMENT BY OBJECTIVES is a managerial method in which SUPERIORS AND SUBORDINATES:

1. Define program objectives
2. Identify INDIVIDUAL OBJECTIVES
3. Set measurable performance standards
4. Measure results against standards.

PROCEDURE

1. Supervisor and employee negotiate individual objectives:
   a. Tasks
   b. Measures of accomplishment
   c. Date of completion.
2. Individual objectives are used for periodic performance appraisal.

EXPECTED BENEFITS

1. Forces specification of desired results
2. Reinforces high-level performance
3. Identifies low performance for corrective action
4. Promotes fair employee evaluations
5. Increases organizational effectiveness through better planning and review of progress.

Code: MS12

Handout 1—Performance Review Guidelines

A structured framework of performance standards and goals can be the basis for effectively communicating with subordinates and associates and for conducting performance appraisals leading to positive performance improvement. The key steps required if we are to change the focus of performance appraisal from a critique of past performance to an improvement-change meeting are the following:

- Clarify job objectives
- Identify responsibilities
- Establish goals and measurements
- Establish checkpoints
- Review and followup.

Although the steps mentioned are important in a results-oriented system, studies indicate that goal-setting is the most critical step in performance improvement. A strong relationship exists between effective goal-setting and basic interviewing and problem-solving techniques. All involve clarification of purpose, direction, and objectives. Further, effective goal-setting requires the development of sound interpersonal relationships.

The following guidelines might be helpful in establishing performance goals:

Performance Goal Planning

1. Identify specific, measurable goals.
2. Establish standards or criteria so that achievement can be measured.
3. Identify subgoals and establish checkpoints with specific dates.
4. Establish a clear relationship between action steps, subgoals, goals, responsibilities, and overall objective.

Problem Solving

1. Identify problems rather than symptoms.
2. Collect sufficient data to isolate problems and key improvement areas.
3. Develop alternative solutions to problems for consideration and testing (cost, time, benefit, feasibility). Don't jump at the first or obvious solution.
4. When several alternative solutions are possible, select a strategy on the basis of maximum impact on problem.

Interpersonal Communication

1. Develop openness and trust.
   a. Place more emphasis on seeking out information and trying to achieve an understanding of the other person rather than on trying to give information, lead, or persuade.
   b. If you are trying to build understanding of a point, describe the issue or feeling rather than giving your evaluation of it.
2. Where commitment is important, provide an opportunity for influence sharing.
3. Deal with issues, not personalities.
4. Never assume.

   Make sure you have clear information on a subject before offering criticism and advice. Also, do not assume all is well, thereby perhaps shutting yourself off from information. (Subordinates may well hesitate to contradict their boss or bring up unpleasant subjects.)

The Review Session

Performance review built upon the establishment of goals and measurements has many advantages:

- There is a clear understanding between boss and subordinate on what is to be done, when, and how the boss will measure the subordinate's performance.
- The periodic checkpoints and interim reviews allow action to be taken if necessary before the situation gets too far out of hand.
- Experience indicates a far higher goal achievement rate when subordinates participate in the goal-setting activity instead of working under imposed quotas and goals.
- Review sessions deal with objective performance evaluation and focus on "now" and "tomorrow" rather than yesterday's and last year's errors and successes.

However, although the periodic review system should provide the supervisor with timely feedback, no system can assure that a subordinate can meet all goals and objectives. What do we do when goals and objectives are not being met by a subordinate?

- Identify the problems and obstacles that have prevented goal achievement.
- Correct the problem or replan the goal.

When underachievement is caused by mistakes or obstacles, the situation may be resolved by problem-solving. However, sometimes it is necessary to redefine or change goals or time schedules. Some reasons might include the following:

- Original goal projection was over- or underestimated.
- Circumstances have arisen which affect goal achievement.
- Priorities or workloads have changed.

In summary, replanning of goals or time schedules should only occur when there have been real changes in the external situation or when a shift in a particular goal will not affect achievement of a higher-order objective.

Review Techniques

This approach to joint goal-setting and results-oriented performance review by its very nature implies a developmental communications approach on the part of the supervisor. The supervisor draws the subordinate into the planning and problem-solving activity, encourages two-way communication, and strives to increase the amount of influence directed at the problem or goal through a sharing of influence. However, in situations in which goals have not been met (whatever the cause), two or three different techniques might necessarily be used:

Counseling—the term counseling is used in the sense of actions taken by one person to provide a sounding board for another person to help the latter develop more understanding of a problem or more insight into it. In this instance, the supervisor uses nondirective, open-ended responses.

Problem-solving—a confrontation of issues in an effort to find a solution to the specific problem at hand. Problem-solving is conducted in the developmental two-way communication style, with the supervisor involving the subordinate in the activity.

A sincere effort using counseling and joint problem-solving may solve the problem, but sometimes it does not. However, a supervisor cannot permit the operation to become ineffective or inefficient. The supervisor cannot permit people to take inappropriate shortcuts or violate basic rules or commitments. Accordingly, if it reaches the point that a subordinate is unable to perform up to standard despite joint problem-solving efforts and counseling, the supervisor must consider the more or less traditional disciplinary approach:

Enforcement—warning, disciplinary layoff, denial of salary increase, transfer, termination

A critical question for supervisors to explore for themselves is the extent to which they have developed a supervisor-subordinate relationship in which problem-solving and motivation can occur. The answer to "Why did this become a disciplinary issue?" might provide a guideline for future performance development efforts.

Code: MS12

Handout 2—The Management of Human Resources

Personnel administration, infrequently, is obviously and directly linked with an organization's viability or survival as much as are other subjects such as financial management and program planning and evaluation. Why personnel administration is frequently downplayed is not so obvious. In the end, the management of an organization's human assets dictates the course of its success. An agency's greatest needs and its severest shortages are in human resources.

Throughout the historical development of personnel administration, the value of recognizing the human element has been slow to develop. But with the magnification of human tensions stemming from routine—and often mind-numbing—work situations, an unsettled social environment and the concomitant re-examination of societal values, and the growth of strong labor unions, the need for vigorous personnel departments emphasizing the human aspect of employment has been strengthened.

For a grantee that is a component of a larger agency, the first requirement is an appropriate distribution of responsibilities between the agency personnel office and the operating program, coupled with a system of organization that will keep these responsibilities separate but reinforcing each other. Primary responsibility for personnel administration should rest with a program director. The central agency should be involved only to the extent necessary to develop organizationwide policies and to facilitate the work of the components. The balance between program staff requirements and the organizationwide need for consistent policies and procedures is frequently hard to achieve. However, once duties have been defined and assigned, the attention of the personnel system should be centered on securing, motivating, and retaining the best employees. Many, if not most, of these objectives can be secured through a sympathetic program director who is not isolated from nor checked by the personnel department and whose primary function is to supervise and motivate employees toward the goals of the agency.

HIRING

Recruitment

The obvious first step in personnel administration is the recruitment and placement of employees. Recruitment means securing the right person for a particular job in the organization. The process may be initiated through advertising, personnel agencies, contacts with other employers and organizations in the field or geographic area, field trips, professional meetings and conventions, and any other mechanism suitable for the environment.

Testing

Because of occasional controversy over the validity of testing results, this device is frequently avoided as part of the hiring process unless the tests have been properly validated and conform in all other ways to Federal regulations. In formulating the qualifications that new employees must possess, grantees should follow guidelines taking into consideration ethnic, sex, race, and neighborhood residency criteria, and requirements dealing with the employment of ex-alcoholics, i.e., the length of sobriety prior to employment. Personal experience with the problems related to alcohol use and abuse, however, is not the only factor in determining employment suitability.

Application Forms

Grantees should design a uniform application blank for all prospective employees which will record details of personal history, education, and past experience. If the applicant is hired, the completed application blank will become part of the employee's personnel file. All other applications can serve as a reference "bank" to be consulted as openings occur in the organization.

Interviewing

The reliability and validity of interviews is often questionable to personnel experts. However, interviews can-

not be eliminated and can be conducted with objectivity if the interviewer is aware of the potential pitfalls involved. Although one of the primary purposes of interviewing is to learn about the applicant, an interview should not be used to gather data which can be collected on the application form. The interview should expand upon these basic facts and establish continuity of the applicant's history.

Many interviewers are guilty of stereotyped interviews where each session is a facsimile of the preceding one, and there is no adaptation to the individual. The point is to determine where a healthy amount of routine ends and stereotyping sets in. While the interviewer should aim for a happy medium, if he/she must err, then it should be on the side of a more routinized approach, using job descriptions and a comprehensive, structured, question format as guides. Especially for the individual with little experience in interviewing, this approach has the greatest potential for valid selection, coupled with an interview pattern where more than one person interviews the applicant.

Interviewers should not forget that interviews are also held to acquaint the applicant with facts, both pleasant and unpleasant, about the position and the company; to sell the agency to the applicant; and to initiate goodwill toward the organization, whether or not the interview culminates in employment.

While applications and interviews often constitute the deciding factor in the hiring process, situations may occur in which an employer must decide among several applicants. One word of caution: previous experience may be a valuable indicator of future performance but is not a guarantee of ability to do a job well. A careful investigation of past employers and business references should be made to complement the screening process.

Placement and Orientation

The grantee should strive for uniform procedures in introducing new employees to the organization through which they are familiarized with objectives of the organization and details of their specific position, organizational relationships, and accountability. Prior to reporting to work, the employer should send the new employee a letter in which the basic conditions of employment are stated. New employees should also receive copies of personnel policies, benefit programs, and other rules and regulations put into writing. Followup interviews should be held several times during the first six months of employment in which the supervisor and employee reconfirm their understanding on such issues as the minimum and maximum salary for the latter's work, standard personnel practices, mutual objectives, and personal expectations.

ESTABLISH EMPLOYEE FUNCTIONS

This second aspect of personnel administration, which chronologically precedes the hiring process, takes the form of job descriptions. There are many satisfactory styles of job descriptions, but the typical one is divided into three or four major sections: the function or purpose of the position, duties and/or responsibilities, the extent and limits of authority, and relationships both within and outside the organization. Many job descriptions also include a section on qualifications or specifications.

Job descriptions are best written by a combination of input from the personnel department and an individual acquainted with the scope of the job to be described. They take more time than commonly believed to formulate and to be approved or modified by the director of the program. Once adopted, though, job descriptions can be changed. Review and revision are essential and may be carried out at regular intervals:

- When job content changes
- When the incumbent changes
- When the incumbent or the incumbent's supervisor asks for a review
- When there is a major organizational change
- When a general review of salary structure is made
- At the date of performance evaluations.

Occasionally, some employees will refuse to perform functions that are not listed in their job description. This attitude is justifiable if such instances occur frequently and change the nature of the position. The employer should then create new and more realistic job descriptions, revise current ones, or reach an understanding that the job description is simply a summary

of the most important elements of the job and that the employee may be called upon to do miscellaneous tasks.

TRAINING OR EMPLOYEE DEVELOPMENT

Training

Training is a key responsibility of program managers and is multifaceted. Training can take place at the following points:

- Preentry
- On-the-job
- Off-the-job
- Orientation
- Ongoing supervision.

Whatever single form or combination you rely upon most for employee development, you should follow these do's and don't's:

Do	avoid obsolescence.
Do	expose employees to other areas and specializations.
Don't	misuse "fad" methods of teaching which are certainly legitimate in the behavioral science field but cannot work when executives merely graft them on a structure unsuited for their implementation.
Don't	feel that through training programs and better qualified employees, you lose control of your program.
Do	think of development as having its foundation in day-to-day work.
Do	think of training as self-development rather than as something "done" to someone.
Don't	limit training or development opportunities to the so-called "high potential" employees.
Don't	base development programs on ideal personality traits.
Do	emphasize the present job rather than "a promotional or salary ladder."
Do	hold to a minimum development activity that cuts into the day's work.
Don't	give new employees more than they can master at any one time.
Don't	make assumptions on what the new employee already knows.
Do	have the employee try what he or she has learned.
Do	use followup, personal attention, and recognition of progress and performance.

Suggestion Systems

Inservice training is effective when combined with other policies and programs that contribute to effective supervision and morale, such as employee suggestion systems. Suggestion systems can be constructive if they have official support and if the mechanism for transmitting suggestions is outside the normal channels of supervision. Suggestions must be promptly acknowledged and receive a fair and impartial evaluation. It is also effective to consult with the employee who made the suggestion before final action and to have an appropriate mechanism for reward or recognition.

Counseling

Employee counseling treats with secrecy personal problems of employees arising either at home or at work. While some organizations use specially trained experts tied into the personnel office, this formal counseling is most effective when done by the supervisor. If not trained in counseling, supervisors should become familiar with basic counseling concepts, approaches, and techniques.

DETERMINING SCALES OF PAY AND JOB CLASSIFICATIONS

In this area, grantees must operate within the guidelines and limits of the grant. They should, moreover, be thoroughly familiar with merit increase limitations so that they can so inform employees at the initiation

of their employment. They should satisfy themselves that comparable pay is made for comparable work and that salary scales are equitable for male and female employees. Where feasible, directors and fiscal officers should conduct salary surveys to assure compatability with other employers in the area doing similar work.

PROVIDING FOR METHODS OF EVALUATING EMPLOYEES

Performance evaluations touch upon one of the most emotionally charged issues in personnel administration: the assessment of a person's contribution to the job and the person's ability to perform the work. Although employers may stress the point that they are judging a person's work, not the person, the distinction is not always clearly made by management and understood by supervisors. The employee's perception of the system has a strong impact on self-esteem and subsequent performance. An employee can view the evaluation as an attempt to reinforce certain values, traits, and beliefs and to redo the employee. Frequently, this feeling is justified because appraisals, reinforced by appraisal discussions, often deal with character and personality and the 5¢ psychology of the employer.

Managers should recognize that, without safeguards, a performance appraisal can be only a subjective judgment that is made on the basis of information that is incomplete. Judgment can be sharpened by narrowing down the use one will make of an appraisal so that the information needed can be reduced and focused. However, unless care is exercised, an appraisal can remain only the manager's subjective interpretation of what the information means.

Further, whatever system or approach is used, performance evaluations can be no better than the employers or supervisors who use them. Many supervisors frequently fail to realize the subjectivity element of appraisals and the extent to which their own working habits can be curtailing the capacity of their subordinates to grow. There are many employers who will not add to their administrative burden by trying to improve an employee's performance. On the other hand, an appraisal process can demand not only too little but often too much from employers in the way of paperwork and ritual. The emphasis frequently tends to be on form and administration (doing things right) as opposed to process and management (doing the right things).

Employers and employees alike too often can view the performance evaluation as a reward/punishment tool, which inevitably places supervisors in the position of appearing to judge the person, not the performance. Seldom are research findings applied concerning the negative aspects of criticism, the neutral effect of praise, and the positive power of specific performance goals.

The objectives of too many performance appraisal systems are a hodgepodge of historical personnel procedures plus odds and ends delegated from top management. Objectives frequently seek to motivate high performers to do better and low performers to improve; identify those with high potential for advancement and those who are consistently low performers; provide accurate and complete information in the form of a rating system for making decisions on salary increases, promotions, and transfers; let subordinates know how they are viewed by their supervisors and what the future holds for them in their organization; and plan a development program for the employee. Each of these is laudable if pursued effectively.

Approaches to employee evaluations range from informal discussions between the supervisor and employee to multipage reports; from numerical rating systems to contrasts of performance against preestablished objectives such as dependability and ability to get along with fellow workers. There are major drawbacks to many of these as they are commonly applied.

To breathe new life into this frequently misused management tool, the employer should first take a candid look at human resources and recognize the many alternate patterns used by individuals in accomplishing common goals. To attempt to motivate employees to be replicas of someone else will only breed reactive behavior. Each work group encompasses skills, abilities, potentials, and aspirations. Managers should guarantee managerial support and action commitment to these skills. Once this groundwork is settled, an employer can create the infrastructure for his evaluation system. The employer and employee together should agree on the goals the employee is to achieve, their importance to the work of the organization, the ground rules to be observed, and the major steps to be taken toward them. Progress against these goals should be reviewed at scheduled intervals and,

depending upon whether the purpose is for salary review, a coaching session, career guidance, etc., certain aspects will be culled and emphasized over others. The making of decisions on raises, promotions, assignments, and performance often contain different and sometimes conflicting objectives, as well as reactions on the part of the employee.

The benefits and rewards of evaluation against mutual objectives are the following:

1. It helps a manager to stop being the sole judge of the personal worth of fellow workers.
2. It helps to eliminate attention to personal traits.
3. Performance improves most when specific goals are established as a basis for appraisal.
4. It should be future-oriented. The past should be examined for the clues it provides for future development.
5. It is an open system. All employees can experience positive changes when they are being compared with their own objectives rather than against each other.
6. It is flexible. There is flexibility for both the supervisor and subordinate in setting mutual goals.
7. The stress is upon developing standards so that employees will know when they are performing acceptably.
8. It provides the machinery by which supervisors can clarify their thinking on what they want done.
9. Employees commit themselves to standards. Although the supervisor controls the dialogue, the burden is upon the subordinate to get acceptance from the boss.
10. It permits evaluation of the total job and all the mitigating and aggravating circumstances.

MANAGEMENT RELATIONS

The employer should learn to think of disciplinary action in constructive terms rather than as a device for reprisal or punishment. In disciplining employees, keep the following guidelines in mind:

1. Act promptly. Inaction condones the violation.
2. Get all the facts and determine whether the offense is minor or major: whether the situation may warrant immediate discharge.
3. The purpose of corrective discipline is to obtain compliance with established rules of conduct; discharge (a last resort) is not corrective in nature.
4. Give the employee a chance to explain his/her side.
5. Give due consideration to the basic factors such as guilt, the employee's length of service and prior conduct record, the period of time since the employee's last instance of disciplinary action, and any mitigating or aggravating circumstances.

While an employer can prevent many grievances from occurring by conducive working conditions, both employees and employers should have formal grievance machinery available. In determining the best mechanism for your situation, the following principles should be considered:

1. Don't expect the employee to think like the employer.
2. Have a definite plan and procedure for receiving and handling complaints. Cover when, where, how. Avoid the "I'm always willing to talk" approach.
3. Be flexible, as your first set of machinery may have to be modified over time.
4. Keep the system simple. A complex mechanism can create a climate of futility. Employees won't use the system if it looks monumentally complicated.
5. Define specifically the areas of complaint that are justifiably legitimate.
6. Don't table complaints, pass the buck, or affix blame on superiors.
7. Allow employees to take their complaints to someone other than their supervisors without the danger of reprisals.

8. Avoid a kangaroo-court approach.
9. As an employer, bear in mind that many complaints are based upon misunderstanding, a lack of information, transferred anger, or poor communications.
10. The success or failure of your grievance program will rest upon followup: a definite decision and a course of action to be carried out.
11. Take your grievance procedure seriously.

PROVIDING FRINGE BENEFITS

Grantees will generally find their flexibility on "material" benefits restricted to insurance coverage and payment for sick leave, holidays, and vacations. Other benefits worth considering because of their relatively limited cost are:

- Reasonable access to the employer's facility for employees' use
- Employee awards
- Free time for off-the-job training
- Compensatory time
- A flexible approach to staggered work hours and days.

PROVIDING SUITABLE CONDITIONS OF WORK

Personnel Policies

Personnel policies, the mechanism by which the employer communicates to the employee the conditions of work, should be inviolate. Once an exception to a policy has been made, the item in question ceases to be policy. However, the employer should realize that situations may arise that were not contemplated at the time of formulating the policies. Thus, the policies should be developed in a broad, long-range fashion. "Policies" should not be considered policies until they have been written down. Written policies insure uniformity and continuity, provide something concrete on which to base an appeal, and ensure that the policies are "right." The knowledge that something is going to be in writing for the world to see makes an organization strive to be "right." From the employee's perspective, the lack of written policies can leave them confused, without any basis for judging whether their course of action is right, and prone to spending too much time worrying about what procedure to follow.

When formulating or reexamining your personnel policies for modifications, the following points should be considered for inclusion:

1. A grievance mechanism
2. Leave guidelines—sick, vacation, holiday, and other (jury, court, military, maternity, paternity, bereavement, and leaves of absence)
3. Working hours
4. Conflict-of-interest guidelines
5. Physical examinations for employees
6. Travel reimbursement
7. Compensatory leave
8. Leave and termination notice.

Personnel Files

A closely related function is the retention of employee files which will contain each employee's application, wage record, leave tally, and family and personal status. A personnel department should also file all governmental laws and regulations on hours and wages and related information.

PROVIDE FOR CONDITIONS OF EMPLOYEE TERMINATIONS

When confronted by the case of a problem employee for whom immediate dismissal is not a satisfactory answer, the employer should be prepared to take a number of steps aimed at retaining and dealing with the employee so that there is no question in the latter's mind as to his/her status.

At the first stage of dissatisfaction, the employer should make a formal documented appraisal of the employee's work to be able to draw conclusions as to reasons for the employee's poor performance.

In an honest, straightforward session with the employee, the employer should make constructive suggestions for improvement. At this meeting, the employer can establish a probationary period and a set of realistic, measurable goals to be attained by the employee by the end of that period. During this time, the supervisor should plan for increased contacts with the employee in the form of coaching and support. In addition, the supervisor should be documenting the employee's performance rather thoroughly.

Toward the end of the probationary period, the employer should summarize and document an appraisal of the employee's performance, upon which the employer will base a decision as to whether the employee will stay. If that is the case, the employer should schedule a time at which to inform the employee that he/she will remain with the organization. Another session is appropriate to discuss performance during probation.

If the employee is to be discharged, he/she should also be told at once with a brief explanation of the reasons behind the decision. The emphasis should be upon work that he/she might do successfully, the help that will be available from the organization he/she is leaving, the length of time before the final day, the possibility of taking time off to look for another position, and any specific duties he/she is expected to perform during the termination period.

There are instances which necessitate immediate dismissal, the grounds for which must be understood by all employees at the time of hiring. In the case of any employee who is terminating employment, an exit interview is essential for mutual goodwill and for understanding why the employee has chosen to leave.

FUNCTIONS OF LEADERSHIP

Leadership is essentially the energizing of employees by superiors to achieve the objectives of the organization. Spelled out, it is the knowledge of why and how results are attained, of people and institutions, and of how to secure team work. In other words, it is a knowledge of supervision and motivation.

With smaller grantees, leadership will most probably be highly personalized, but in larger grantees human relations will be complicated by more complex structures. With increasing concentrations of power, leadership becomes more and more formal and institutionalized. Many employees distributed among specialized operations make leadership more difficult. However, it is infinitely more important that all of them understand and accept the goals of the organization. The problem, where results depend upon influence rather than domination, is to keep the human element alive in the framework of a large organization.

In either grantee type, leadership, as it relates to personnel administration, is a matter of communicating to the staff what to do and how to do it (supervision) and inspiring the staff to carry out these orders (motivation).

Supervision

The image evoked when one mentions the tools of supervision is supervisors: their selection, their authority, and their liaison to lower echelon employees. Personnel specialists still do not know how to detect who will make a good supervisor and who will not. They are not certain about the most appropriate training technique for supervisory-level personnel. But they generally agree that there is probably no greater organizational waste than that of willing employees prevented from applying their energies and ambitions by faulty supervision.

Employers should concentrate on developing supervisory skills that are fitted to the individual personalities of supervisory staff. Among those supervisory attributes are the following:

- Ability to communicate—a good teacher gives directions, lets the employee experiment, patiently shows where he/she has made mistakes, and can improve.
- Objectivity—have fair, impartial, and friendly relationship with subordinates without their reaching the point of personal friendship.
- Ability to use tension—vary it, use it when appropriate, know which employees work best under it.
- Sense of humor—use it to relieve tension when desirable and teach through the use of humor.
- Ability to use ambition—channel it to maximize benefits to themselves, their subordinates, and the organization.

- Ability to motivate—an awareness of what constitutes motivation for each individual employee.
- Flexibility—know when and how to bend.
- Ability to administer discipline—firmness, fairness, promptness.
- Ability to practice what is being preached—set the best example.
- Ability to prepare and use a daily mental check list of responsibilities and duties—also gives supervisors a sense of strategy and wholeness of their duties.
- Ability to recognize good works—communicate that recognition.
- Ability to be aware of and accepting of their individualism—eliminate the goal of an ideal personality type to be duplicated throughout the agency.

Among the formal tools of supervision worth considering by higher management levels are the formulation of general (formal) policies that are disseminated throughout the organization and the maximum standardization of functional and housekeeping procedures, incorporated as instructions, standards, and guides in an administrative manual.

A supervisor must, especially in a large, formal organizational structure, be an effective communication network wherein signals are received and given, running up and down and back and forth across the organizational framework. The following should act as guideposts in determining whether your communication system is as effective as it could be:

1. The channels of communication should be known.
2. There should be a formal channel of communication to every member of the organization.
3. The lines of communication should be as direct and as short as possible.
4. The lines of communication should be respected procedure throughout the organization.
5. The lines of communication must not be interrupted during the operation of the organization.
6. Every communication must be authenticated.
7. The language of communication must be a common one.
8. There should be staff meetings to stimulate an awareness of problems, to help in their solution, and to gain acceptance for the execution of solutions.
9. Those who conduct staff meetings should be good listeners and should have well-planned agendas, the outlines of which are known in advance.
10. The atmosphere must be such that barriers are dissolved.

Motivation

Underlying an employer's chosen techniques for motivating employees is a philosophy about a person's work habits and the appropriate organizational approach to those habits. One theory, clasically known as theory X, holds that an organization needs well-established and controlled lines of authority, directed toward organizational goals as opposed to individual goals. Proponents of this approach believe that workers really wish to avoid responsibility and must be tightly monitored through a carrot-stick approach to assure attainment of the organization's objectives. Among the drawbacks to this stance is the paternalism frequently assumed by managers in their control over rewards and punishment and the response by employees to get more of the carrot while protecting themselves against the stick. In addition, employees, because of the detailed accountability requirements, often become immersed in details and in a feeling that their employers have no confidence in them.

Another outlook, which has become known as theory Y, wants all organization members to be involved in a democratic decision making process as a general technique for stimulating employee productivity. Proponents of this philosophy accept the premise that all employees are capable, eager for responsibility, and trustworthy. Although participatory management is only

realistically effective in certain areas, theory Y has received more favorable acceptance in recent years than has theory X. Alternate viewpoints emphasize the viability, the stress, and the pressures to change upon organizations, equating them with the human organism. These theories allow managers to deal effectively with all new and unfamiliar situations by a situational approach. That is, the managers, i.e., supervisors, recognize that they must, after an analysis of their particular situation, be able to adapt any theory or set of theories to their requirements.

In another development that has gained considerable favor, management has accepted—often uncritically—the techniques of behavioral science, i.e., group dynamics, adopting them as their approach to employee motivation. While these alternate theories may relate to surface manifestations of problem areas, they do not delve deeply enough into management's conceptions of employee needs.

Whatever approach you favor for your particular situation, you should consider the following incentives, tailoring them to your own set of needs:

Material

Desirable physical conditions

Compensatory time

Salary and salary increases

Training—availability and liberal released time

Flexible approach to staggered work hours and days

Free days (as opposed to holidays)

Promotions.

Personal

Employee knows where he "stands"

Employee is treated as a "friend," that is, a person not to be cheated nor taken advantage of

Support of employee's actions by superiors

Opportunities for advancement

Job enlargement—content and responsibility

Self-respect

Sense of altruistic service/pride of craftsmanship

Utilization of employee in areas where he/she is most comfortable and best qualified

Recognition.

Group

Small work groups

Advance notice and explanation of changes affecting the employees and the organization

Removal of hindrances to prompt completion of work

Appearance of impartiality toward employees

Authority commensurate with responsibility

United front presented by the organization

Lateral/vertical channels of communication

Personal associations

Adaptation of conditions in the organization to methods and attitudes of employees

Employee participation in determining conditions and environment of work

Combination of all loyalties (special interests, personal) into a kind of amalgam or "cause"

Not to be overlooked as effective tools of motivation are the application of negative sanctions, which must, however, be administered within a fair, nonarbitrary, impartial framework. The most common types are probation, demotion, and dismissal, which is the easiest course to follow but only effective if supported by the work group.

Handout 1—Kidney Machine Group Decisionmaking Exercise

KIDNEY MACHINE DESCRIPTION SHEET

Located at Swedish Hospital in Seattle, Washington, is the famous kidney machine. A marvel of technological ingenuity, it is the only hope of life for people with a rare kidney disease.

In actuality, the machine functions as a kidney for people who have lost the use of their own. By connecting themselves to the machine for 24 hours each week, people with renal failure can remain alive indefinitely—or until they are killed by some other ailment not connected with their kidneys.

There are several problems associated with using this machine, for there are many more people who need it than there is time available on the machine. In fact, only about five people can be placed on it at any one time. Doctors examine all potential patients and determine those who could profit most from connection to the machine. They screen out those with other diseases, for whom the machine would be only a temporary expedient, and they turn their list of recommended patients over to the hospital administration. At present, the doctors have submitted the names of five persons for *one* place on the machine.

The committee assembled to make the decision has been given a brief biography of each person appearing on the list. It is assumed that each person has an equal chance of remaining alive if allowed to use the machine. Thus, the committee is asked to decide which *one* of these may have access to the machine.

You are asked to act as if you were a member of this committee. Remember, there is only one vacancy, and you must fill it with one of these five people. You must agree, *unanimously*, on the single person who is to be permitted to remain alive, and you must decide your own criteria for making this choice.

The only medical information you have is that people over 40 seem to do poorer on the machine than those under 40 (although they do not necessarily find it useless). It is up to you.

KIDNEY MACHINE BIOGRAPHICAL SHEET

Alfred: White, male, American, age 42. Married for 21 years. Two children (boy 18, girl 15), both high school students. Research physicist at University medical school, working on cancer immunization project. Current publications indicate that he is on the verge of a significant medical discovery.

On the health service staff of local university, member of county medical society, member of Rotary International, and Boy Scout leader for 10 years.

Bill: Black, male, American, age 27. Married for 5 years. One child (girl, 3), wife six months pregnant. Currently employed as an auto mechanic in local car dealership.

Attending night school and taking courses in automatic-transmission rebuilding. No community service activities listed. Plans to open auto-transmission repair shop upon completion of trade school course.

Cora: White, female, American, age 30. Married for eleven years. Five children (boy 10, boy 8, girl 7, girl 5, girl 4 months). Husband self-employed (owns and operates tavern and short-order restaurant). High school graduate. Never employed.

Couple has just purchased home in local suburbs, and Cora is planning the interior to determine whether she has the talent to return to school for courses in interior decoration. Member of several religious organizations.

Reprinted by permission from "Kidney Machine: Group Decision-Making," J. William Pfeiffer and John E. Jones (eds.), *The 1974 Annual Handbook for Group Facilitators.* La Jolla, Ca.: University Associates, 1974, pp. 78-83.

David: White, male, American, age 19. Single, but recently announced engagement and plans to marry this summer. Presently a sophomore at large eastern university, majoring in philosophy and literature. Eventually hopes to earn Ph.D. and become a college professor.

Member of several campus political organizations, an outspoken critic of the college "administration," was once suspended briefly for "agitation." Has had poetry published in various literary magazines around the New York area. Father is self-employed (owns men's haberdashery store), mother is deceased. Has two younger sisters (15, 11).

Edna: White, female, American, age 34. Single, presently employed as an executive secretary in large manufacturing company, where she has worked since graduation from business college. Member of local choral society; was alto soloist in Christmas production of Handel's Messiah. Has been very active in several church and charitable groups.

Handout 2—Kidney Machine Psychological Reports Sheets

Re: Patients for Kidney Machine
From: Hospital Psychological Staff

In routine preadmission interviews, the following patients were examined and evaluated as per the following data:

Re: **Alfred**—He is presently distraught about his physical condition and reports that it interferes with his work. Seems very committed to his work and appears to be legitimately on the verge of an important cancer discovery. It was hard for the staff to get him to talk about his work in terms that they could understand.

Family relations seem strained and have been for some time because of his commitment to his work. The staff feels that he is a first-rate scientist and scholar who has contributed much and could contribute more to medical research. But they also believe him to be a mentally disturbed individual who, in time, will probably need psychiatric help.

Re: **Bill**—He is a well-oriented Negro, who does not appear to be swayed by the blandishments of black extremist groups. He is strongly devoted to his family and appears to be an excellent husband and father.

Bill's capacity for growth in his chosen occupation, however, seems limited. His high school record was poor, although he had no record of delinquency and was always regarded by his teachers as a student who tried hard. Therefore, he will probably not succeed with his business plans and will remain employed at a fixed rate permanently.

His wife is trained as a legal secretary. Her prognosis for employment is good, although Bill has discouraged her from seeking work because of mu al agreement to have her be a full-time mother. Bill seems unaware of the serious implications of his illness.

Re: **Cora**—One of the staff members evaluating Cora described her as a professional Jew. She is president of the local Hadassah organization and seems able to talk about nothing but her religion and her children. Although her recently found interest in interior decorating may be a sign of change, it was not clear to the staff whether this interest was real or only generated artificially when she heard of the interview requirement.

She seems resigned to her illness and likely death. Her husband works long hours, is in good health, and enjoys the respect and love of his children. Cora's mother, who also lives with the family, handles most of the child care.

Re: **David**—Typical of young student activists, David is a bright—almost straight "A"—student who enjoys the respect of most of his teachers and friends. But he appears confused about his future and demonstrates a penchant for jeopardizing it by involving himself in various student "causes." Indeed, his college's dean of student affairs regards him as an individual who will "demonstrate for anything."

He is bitter, almost paranoid, about his illness. His father has invested a good deal of money, time, and emotion in him and has always hoped that David would become a lawyer. His relations with his father are presently strained, however, and he seems only mildly concerned about his two sisters, although they still think highly of him. His future father-in-law, who is a highly successful businessman, expects him to enter the family enterprise upon college graduation.

Re: **Edna**—She is a self-contained, inner-directed woman and a model of the "career girl." It was clear to the staff that her natural aggressiveness and combative tendencies militated against any sort of marital attachment, and it is not impossible that she has lesbian tendencies.

Her employers regard her as indispensable. Her work record is superb, and her activities in church and charitable groups have been very effective. She is well regarded by all who know her, although she seems to have few, if any, close friends. She appears resigned to her death. In fact, she indicated that she would prefer to have someone other than herself go on the machine. Her offer did not seem in the least insincere.

Handout 3—Improving the Decisionmaking Process

1. **Understanding Organization Objectives.** One may believe everyone knows what the goals are. Many times, however, the goals are not understood, at least in the same manner, by everyone.
2. **Understanding the Role of Each Individual.** All individuals are interrelated. One affects the other. One may perceive a person as having a certain role, while that person may perceive it differently. These differences need to be resolved.
3. **Clarifying Problem Areas or Issues.** This involves isolation of the elements that bear upon the problem to subject the problem to critical analysis. The problem has to be seen clearly before constructive action is possible.
4. **Improving Problem-Solving Skills.** These skills can be improved with practice.
5. **Strengthening Internal Communications.** Formal and informal networks exist.
6. **Evaluating Action.** Was it carried out? Accomplished? How can this be measured?
7. **Improving Working Relationships.** In small organizations, involvement by all is paramount in most situations. Most contributions have some value because of different views and perceptions.

Handout 4—Useful Guidelines for Decisionmaking

1. There are no one-person decisions in an organization. Any kind of a decision will eventually involve others.
2. Even those persons at the lowest echelons of the organization, drawing the lowest pay, may have a significant influence upon what takes place.
3. If the client ultimately determines the shape of the organization, then those dealing with the client become persons of substantial influence as well.
4. Problem-solving and decisionmaking can be improved not so much through the improvement of the individual executive's performance as through finding ways and means by which others may be involved.
5. The time and attention given to the involvement of others may be costly, but not so costly in the long run as the failure to carry out properly the decisions of the organization. This failure is the price that is nearly always paid by autocratic administration.
6. Just because you don't see the slowdown, don't conclude it isn't there. Sometimes a slowdown is of such a nature that even those most involved are not aware that they are failing to give their best.
7. There are many blocks to effective organizational performance. The intelligent administrator will try to understand and remove them.
8. Communication is the medium through which the various posts of the organization—top, bottom, and across—are helped to understand each other. No organization can be really effective without an effective communication system.
9. It is usually more dangerous to act without sufficient knowledge than to slow down the processes while information is being obtained.
10. There is no "decisionmaking type," just as there is no single "leadership type." The person in an executive position will do well to understand what others expect of him in a problem-solving way—and also how others see their own roles in the process.
11. Don't expect that your organization can change too rapidly from "poor" problem-solving to good. Whatever change takes place is likely to be gradual. Give it all the time it needs.
12. Finally, people will support what they help to create. If they are invited into the decisionmaking process, they are likely to feel more responsibility for the decisions that are made.

Code: MS13

Reference 1—Leadership Styles

Continuum →

Autocratic		Democratic			Laissez-faire
Telling	Persuading	Consulting	Joining	Delegating	Free Rein
(Director makes decisions with no questions asked)	(Director sells decisions to subordinates)	(Director presents a tentative decision subject to change on group input)	(Director presents a problem and joins in making a decision)	(Director permits a group to make decisions within defined limits)	(Group makes decisions with either little or no participation by the director)

Different leadership styles lie along a continuum, suggesting that one style can flow into another depending on the situation or circumstances involved and that none exists in reality exactly as defined. Any one person exhibits components of different styles at different times.

The type of leadership style can be defined as follows:

1. **Autocratic**—This style is based on the power or command concept, for the director is the person to whom these attributes are generally given. This is the most frequent style encountered in many programs. Groups of individuals seem to adapt to it easily, probably because this is the style most familiar to them (parents, teachers, etc.). The basic assumption behind this style is either that people require direction and control to meet program goals or needs or that the leader might feel subordinates are passive and/or incompetent.
2. **Democratic**—The democratic style is based on the principle that group members desire responsibility and want to make decisions or be a part of decisions which affect them. The leader's primary responsibility in this case should be to have everyone participate in decisionmaking processes while strengthening weak members. This approach will prepare the staff for more responsibility and possible elevation inside or outside of the organization. This style seems best suited for promoting commitment and teamwork and for increasing morale. If done effectively, it should satisfy members' need for recognition, expression, and belonging. It tends to make individual members grow to positions of more responsibility.
3. **Laissez-faire**—In this instance the leader is more or less an information agent, with little input into the team's work. Many times groups like this approach because they have free rein and can set their own pace. If a group is immature, however, this style can cause many problems, such as lack of direction, confusion, and conflict.

In addition to the three main types of styles, finer breakdowns are included in the illustration.

Implied in any leadership style are the needs of the group members with whom a leader works. In many instances, these needs determine leadership style as much as the leader.

Reference 2—Forces that Affect Leadership Style

Many forces come into play to determine a person's leadership style. Among them are the following:

1. The leader
   a. His/her value system and perception of the leadership role
   b. His/her confidence in subordinates
   c. His/her leadership inclinations (He/she feels better "telling" or "working with a team.")
   d. His/her feelings of security.
2. The group or individuals with whom he/she works
   a. Their need for independence
   b. Their readiness to assume responsibility
   c. Their tolerance for ambiguity
   d. Their interest in the problem at hand
   e. Their knowledge and experience.
3. Situational factors
   a. The type of program and history of interactions
   b. How effectively the group works together
   c. The type of problem to be resolved
   d. The amount of time available.

All of these forces come into play when a problem has to be solved and decisions must be made. Consequently, they all affect how a decisionmaker will act at any point in time.

Code: MS14

Handout 2—Planning and Presentation Critique Form

DIRECTION: Circle one number which expresses your opinion and state the reason(s) why.

A. Planning Stage

1. **Agreement on Goals**

a. To what extent are the organization goals taken into account?

Inadequate 1 2 3 4 5 Excellent

COMMENT:

b. To what extent is some effort made to ensure common understanding by those involved?

Inadequate 1 2 3 4 5 Excellent

COMMENT:

2. **Gathering Information; Forecasting**

a. To what extent has information on the existing situation been collected and analyzed?

Inadequate 1 2 3 4 5 Excellent

COMMENT:

b. To what extent have future conditions been anticipated?

Inadequate 1 2 3 4 5 Excellent

COMMENT:

3. **Involving Others**

a. To what extent have the concerned groups or individuals been identified?

Inadequate 1 2 3 4 5 Excellent

COMMENT:

b. To what extent have methods been considered for their most effective involvement?

Inadequate 1 2 3 4 5 Excellent

COMMENT:

4. **Diagnosing Needs; Setting Objectives**

a. To what extent has all information been analyzed and the problem or need for change clearly stated?

Inadequate 1 2 3 4 5 Excellent

COMMENT:

b. To what extent are objectives stated in terms of specific anticipated outcome?

Inadequate 1 2 3 4 5 Excellent

COMMENT:

c. To what extent is the standard for measuring the outcome indicated?

Inadequate 1 2 3 4 5 Excellent

COMMENT:

d. To what extent is the time for accomplishment indicated?

Inadequate 1 2 3 4 5 Excellent

COMMENT:

e. To what extent are the objectives related to the problem or need for change?

Inadequate 1 2 3 4 5 Excellent

COMMENT:

f. To what extent are the objectives consistent with organization goals?

Inadequate 1 2 3 4 5 Excellent

COMMENT:

5. Choosing Alternatives

a. To what extent have alternatives been considered?

Inadequate 1 2 3 4 5 Excellent

COMMENT:

b. To what extent were implications of various alternatives examined?

Inadequate 1 2 3 4 5 Excellent

COMMENT:

c. To what extent is the selected alternative appropriate to the task?

Inadequate 1 2 3 4 5 Excellent

COMMENT:

6. **Agreeing on Responsibility for Action**

a. To what extent have responsibilities been clearly stated?

Inadequate 1 2 3 4 5 Excellent

COMMENT:

b. To what extent do responsibilities match the capabilities of those involved?

Inadequate 1 2 3 4 5 Excellent

COMMENT:

7. **Preparing the Plan**

a. To what extent are the required resources specified?

Inadequate 1 2 3 4 5 Excellent

COMMENT:

b. To what extent has a procedure for monitoring progress been specified?

Inadequate 1 2 3 4 5 Excellent

COMMENT:

c. To what extent does the plan describe evaluation procedures?

Inadequate 1 2 3 4 5 Excellent

COMMENT:

8. **Plan Approval**

a. To what extent has the need for approval been considered?

Inadequate 1 2 3 4 5 Excellent

COMMENT:

b. If formal approval is necessary, to what extent have provisions for this step been made?

Inadequate 1 2 3 4 5 Excellent

COMMENT:

Code: ›15

Handout 1—Planning and Presentation Score Sheet

1. **Agreement on Goals** COMMENTS

   a. 1 2 3 4 5

   b. 1 2 3 4 5

---

2. **Gathering Information**

   a. 1 2 3 4 5

   b. 1 2 3 4 5

---

3. **Involving Others**

   a. 1 2 3 4 5

   b. 1 2 3 4 5

---

4. **Diagnosing Needs; Setting Objectives**

   a. 1 2 3 4 5

   b. 1 2 3 4 5

   c. 1 2 3 4 5

   d. 1 2 3 4 5

   e. 1 2 3 4 5

   f. 1 2 3 4 5

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5. **Choosing Alternatives** COMMENTS

a. 1 2 3 4 5

b. 1 2 3 4 5

c. 1 2 3 4 5

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6. What provision is made for agreeing on responsibility for action?

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7. What provisions are made for preparing the plan: monitoring expenditures; measuring progress; evaluation?

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8. If the plan must be approved, has this step been provided for?

Planner _____

Rater _____

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